



Request for membership as **INDIVIDUAL MEMBER**

Personal Data

First Name (1) Last Name (1)

E-mail (2) Phone number (3)

The above data may be published on the ALFI website (ALFI member company directory)

I agree all or only (1) (1+2) (1+3) I disagree all

and in other places, including on social media and in ALFI member communications (such as the ALFI Newsflash). Refer to ALFI's privacy policy below for more details.

I agree all or only (1) (1+2) (1+3) I disagree all

Address

Postal code City

Note: Address is used only for internal purpose and ALFI mailings

Applicant profile

1) Describe your professional activity in the fund industry and the connectivity to Luxembourg.

Please attach a CV

ALFI box

2) Select applicant profile

The category hereafter will be displayed along with the personal data on the ALFI website except if the relevant box ("disagree" above) has been ticked.

Adviser/consultant <input type="checkbox"/>	Academic <input type="checkbox"/>	Other (please specify) <input type="checkbox"/>
Individual who is an independent non-executive director <input type="checkbox"/>	
Please indicate at least one full or associate member of ALFI for which you have a mandate:

Endorsement by two sponsors

To be eligible as an individual member, any candidacy has to be sponsored by two full members of ALFI as defined in Art.7 of the ALFI articles of association (i.e. a provider of services or an UCI or other investment vehicle domiciled in Luxembourg).

For that purpose, please list the sponsors below and enclose one sponsorship form for each.

Sponsor name

ALFI full member no. 1

ALFI full member no. 2

Applicant commitment

1. ADDITIONNAL CRITERIA OF ELIGIBILITY FOR INDIVIDUAL MEMBERSHIP

The undersigned applicant certifies that the information provided hereafter is true and given in good faith:

	Please initial if correct	ALFI box
The applicant is not an employee, partner or owner of an existing or potential full or associate member of ALFI (ie, UCI, management company, law firm, bank, central administration, auditor, etc.), with more than one employee.		
The applicant has no criminal record entry Please provide an extract from your criminal record (casier judiciaire) no older than 2 months.		
The applicant has not received a significant administrative fine or other sanction from any regulatory agency and no legal proceedings are in motion against the applicant		

2. ONGOING CONTROL

Every two years, upon request by ALFI, the undersigned applicant undertakes to provide an updated signed statement confirming that they continue to meet the criteria of eligibility.

ALFI data protection policy

With reference to the General Data Protection Regulation EU 2016/679 ("GDPR"), ALFI would like to inform the applicant about the usage and processing of personal data within ALFI and the applicant's personal rights as a data subject in this regard.

ALFI processes personal data purpose-related and based on the legal grounds listed in Art. 6, Par. 1 GDPR.

ALFI is committed to ensuring that its members' privacy is protected and secured.

ALFI may, as data controller, use the personal information provided to invite its members to future ALFI events, including by adding it to ALFI distribution lists, e.g. of the ALFI Newsflash.

To object to such use of personal data for specific purposes, please contact info@alfi.lu. Upon the end of the ALFI membership, any personal data will be erased upon request.

To access the personal data and/or rectify any incorrect/incomplete data, please contact info@alfi.lu.

The ALFI privacy policy is available at <https://www.alfi.lu/en-GB/Pages/About-us/Who-we-are/Privacy-policy>.

Adherence to ALFI rules

The undersigned applicant undertakes to comply with the ALFI articles of association, ethical rules and internal rules of procedures (Article 8)

The undersigned herewith applies for individual membership with ALFI.

Please make sure to provide all requested documents, otherwise the application cannot be processed.

Date : _____

Applicant name: _____

Applicant job title: _____

Signature:

If you would like to announce your ALFI membership on your website and/or social media, you are welcome to contact ALFI management for a quote.

Method of contribution for membership Year 2024

I. Different categories of ALFI members

(for more details see ALFI Articles of Association, Chapter 2 Members Art. 7 - Eligibility)

There are three main categories that may become members of ALFI:

- 1) **Full members** that are divided in 2 categories:
 - a) **Member Funds**: Undertakings for Collective Investment and other investment vehicles, domiciled in Luxembourg,
 - b) **Providers of Services** to the Luxembourg collective investment management industry, such as but not limited to central administrations, custodians, management companies, "PSF"... domiciled in Luxembourg
 - 2) **Associate members**, which are established in a foreign country and which have a link with a member funds or a Provider of Services (NB: there is no right to vote for this category).
 - 3) **Individuals** (i.e. physical persons) provided that comply with conditions defined under the Article 7 - Eligibility.
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II. Methods of contribution

The contributions are fixed both by ALFI membership during the General Meetings and by ALFI Articles of Association (see *Chapter 8 Article 19 - Annual contributions*).

According to the 2023 General Meeting, the annual contribution structure for 2024 is as follows:

- a **variable** contribution for **Member Funds** with a maximum of 130 000.- Euros by a single initiator and a minimum of 675.- Euros and a maximum of 56 000.- Euros per fund (see *III. Methodology of calculation*);

- a **fixed** contribution for **Providers of Services**, with a maximum set up at 20 000.- Euros. The calculation of the contribution is based on the number of staff employed by the Provider of Services:

▪ <=10 employees	3 500.-	Euros
▪ 11 à 25 employees	4 500.-	Euros
▪ 26 à 50 employees	5 500.-	Euros
▪ 51 à 100 employees	6 500.-	Euros
▪ 101 à 200 employees	7 000.-	Euros
▪ 201 à 500 employees	8 000.-	Euros
▪ 501 à 750 employees	10 000.-	Euros
▪ 751 à 1000 employees	15 000.-	Euros
▪ >1000 employees	20 000.-	Euros

- a fixed contribution for **Associate Members** : 3 500.- Euros.
- a fixed contribution for **Individuals** : 475.- Euros.

III. Methodology of calculation applied to Member Funds for the 2024 contribution following decisions taken by the 2023 General Meeting.

For all Member Funds, a variable contribution is applied and calculates as follows:

60.- Euros per NAV - tranche of 25 million Euros as at 31 December 2023.
and 30.- Euros per fund / sub-fund (in case of an umbrella fund).

with a minimum of 675.- Euros and a maximum of 56 000.- Euros per fund.

NB :

- Please note that each initiated tranche of 25 million Euros under management is owed. Consequently, the total number of tranches will be rounded up to the nearest integer figure.
- In accordance with ALFI Articles, all parameters (assets under management and sub-funds) refer to 31/12/N-1

Example of calculation

A fund "X" with 4 sub-funds and net assets of 100 million Euros as at 31 December 2023.
The contribution 2023 will amount to:

1st Stage: Calculation following the basic formula

$(4 \text{ sub-funds} * 30.- \text{ Euros} = 120.- \text{ Euros}) + (100\,000\,000 / 25\,000\,000 = 4 \text{ tranches à } 60.- \text{ Euros} = 240.- \text{ Euros})$
= 360.- Euros (theoretical amount)

2nd Stage: Check if the rules of minimum (675.- Euros) or of maximum (56 000.- Euros) should be applied:

As the theoretical amount is below the minimum fixed by the General meeting, the minimum of 675.- Euros will apply. The contribution for 2023 year will therefore amount to 675.- euros.

If the theoretical amount would have been above 56 000.- Euros, the contribution would be 56 000.- Euros, otherwise the contribution for 2023 would be the theoretical amount.

3rd Stage: Check whether the rules of eligibility criteria for a same initiator is respected and if the rule of maximum per initiator (130 000.- Euros) should be applied:

Member Funds must comply with the eligibility criteria set up in Article 7 of the Articles of association, and for that purpose, the registration ratio as defined in Article 1 of ALFI's internal rules of procedure will apply.

IV. Voting rights

Each Member, except Associate Members, receives the right to vote at the ALFI General Meeting as follows:

1 euro <=> 1 vote.
