**ANNUAL UPDATE FORM: REGISTRATION OF MANAGERS OF FOREIGN SPECIFIC ALTERNATIVE ASSETS**

**Name of the Manager:** ……………………………………………………………………………………………………………………….………….

**1.- Is there any current investment (or capital commitments) by Chilean Pension Funds in vehicles belonging to the Manager?**  yes no

If so, please select the specific asset(s) the investment(s) corresponds:

Private Equity Private Debt Real Estate Infrastructure

Important: Should Chilean Pension Funds have no current investments (or capital commitments) in vehicles or co-investment operations managed by the Manager, you must additionally submit an Application Letter signed by an AFP asking for the renewal of the Manager’s Registration by the CCR, identifying the specific alternative asset class whose renewal of approval is being requested for.

**2.- Updated Total Amount of Assets under Management on behalf of third parties in the specific asset(s) class(es)**

Private Equity Private Debt Real Estate Infrastructure

Please complete an updated list of Manager’s investment vehicles in order to demonstrate a minimum amount of US$ 2 billion managed on behalf of third parties in the specific asset you previously chose (complete one table per each specific asset):

|  |  |  |
| --- | --- | --- |
| Investment Vehicle | Predominant Alternative Investment Strategy (e.g. Buyout, Distressed Debt, etc.) | AUM on behalf of third parties (valuation of investments + available capital commitments) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  | *Total AUM (Date: mm/yy)* |  |

**3.- Registration with relevant regulatory/supervisory authorities**

Please, update Appendix Nº2 from your original Application Form with the following information:

|  |  |  |
| --- | --- | --- |
| Country of Registration | Name of the Financial Regulatory/Supervisory Authority (e.g. SEC, FCA, etc.) | Name of the Firm’s Registered Entity |
|  |  |  |
|  |  |  |
|  |  |  |

Add any significant change occurred during the last 12 months regarding the registration with any relevant Regulatory/Supervisory Authorities informed through the Application Form presented for the approval process.

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**4.- Significant changes occurred with regard to Firm’s Ownership/Organization Structure**

Mention significant changes occurred since the Manager’s registration at the CCR, such as: Mergers or acquisitions, changes in the ownership structure and/or organization of the Company, changes in main Managers (or key persons), etc., or any other information you consider important to mention.

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**5.- Distributor/Placement Agent**

Update the information about the Company (es) or person (s) you have any sales and/or distribution agreements- local or foreign based third party- interested in the approval of The Manager of Foreign Specific Alternative Assets herein involved to be distributed to Chilean Pension Funds.

|  |
| --- |
| Name |
| Registration Country |  |  |

**6.- Other Significant Information**

Update Appendix N°4 from the original Application Form, considering significant information occurred during the last 12 months:

a) Describe any situation where the Firm or any of its affiliated entities has ever failed to make payments under any secured or unsecured indebtedness

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b) Describe any situation where the Firm or any of its affiliated entities has ever filed for bankruptcy

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c) Describe any past criminal or administrative proceedings or investigations against the Firm, its affiliated entities and/or its current and former Team Members

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d) Describe any past investigations by a country or industry regulatory body relevant to the Firm, its affiliated entities and/or its current or former Team Members

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e) Describe any pending or ongoing litigation/investigation against the Firm, its affiliated entities and/or its current or former Team Members

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f) Describe any accusation and/or conviction of fraud or misrepresentation against any of the Firm’s current or former Team Members

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**7.- Update of Contacts and Authorized Persons**

Update, if apply, information related to the contact designated for additional requirements and/or Authorized Person, representatives of the Manager, to sign documentation or submit to the CCR.

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