

Post-trade risk and custody specialists

Thomas Murray Transfer Agency Monitoring

The Transfer Agency Monitoring (TAM) programme assists financial institutions with the regulatory requirements surrounding AIFMD and UCITS V. The service collects data and attachments using an industry-agreed questionnaire issued to Transfer Agents* (TAs), selected by each participating organisation.

The TAM is an initiative driven by industry participants, many of whom are leading European financial institutions. The members annually ratify the structure and content of the Transfer Agency Monitoring Questionnaire (TAMQ), prior to issuing to TAs identified as providing the service to funds where they have clients holding positions.

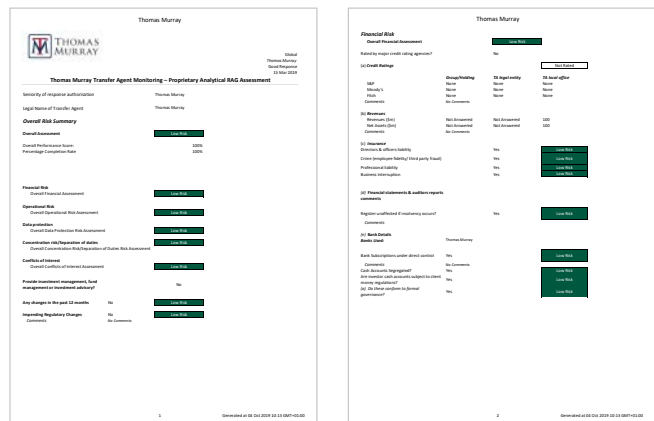
The service includes access to a 'RAG' (red, amber, green) report, an indicative risk analysis report and access to the questionnaire response per TA. The report supports risk-based monitoring of the TAs used by the funds in which their clients invest.

The Service also includes access to the individual questionnaire response per TA, monthly KPI's status reports and membership of the Transfer Agency Monitoring Working Group.

Over the past six years, the TAM service has issued over 15k questionnaires to nearly two thousand TAs in over 50 markets. A unique product that focuses on a previously neglected but vulnerable element in the investment chain.

As institutions are increasingly conscious of the need to monitor their third party services, the TAM programme can benefit organisations looking for transparency in fund selection.

** The transfer agent ("TA") for a fund is defined as the organisation that is responsible for processing subscriptions and redemptions on behalf of that fund and maintaining the register of owners of units in the fund. It is also known as "Investor Services" and as "Unitholder Recordkeeping" in different parts of the securities services business worldwide.*



Category	Item	Status
General Information	1.1 Identity of transfer agent	Green
	1.2 Identity of transfer agent	Green
	1.3 Identity of transfer agent	Green
	1.4 Identity of transfer agent	Green
Operational Risk	2.1 Operational Risk Assessment	Green
	2.2 Operational Risk Assessment	Green
Compliance	3.1 Compliance	Green
	3.2 Compliance	Green
Financial Risk	4.1 Financial Risk Assessment	Green
	4.2 Financial Risk Assessment	Green
Custody	5.1 Custody	Green
	5.2 Custody	Green
Other	6.1 Other	Green
	6.2 Other	Green

More Information

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