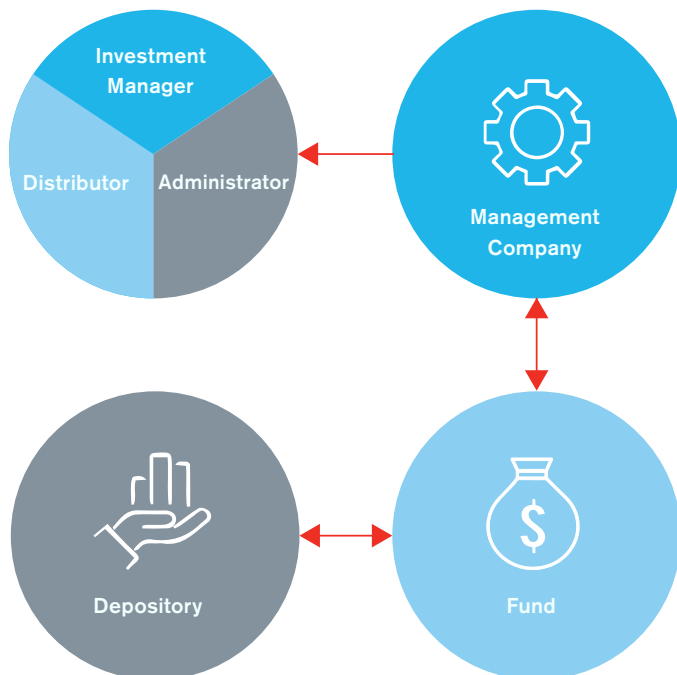


AIFM AND UCITS MANAGEMENT COMPANY SERVICES

Duff & Phelps (Ireland) Management Company Limited acts as the AIFM or UCITS Management Company (ManCo) to EU domiciled funds. Our independent ManCo which is regulated by the Central Bank of Ireland (CBI), is a robust and economically viable solution to support the launch and ongoing management of AIFs, ICAVs, Unit Trusts and UCITS funds. The ManCo oversees the key regulatory management responsibilities while the Investment Manager is appointed solely for the investment management function. This enables the Investment Managers to establish a fund expediently and to focus on their core competency. The ManCo provides the designated managerial functions to the Fund.



HOW OUR SUPER MANCO CAN ASSIST YOU

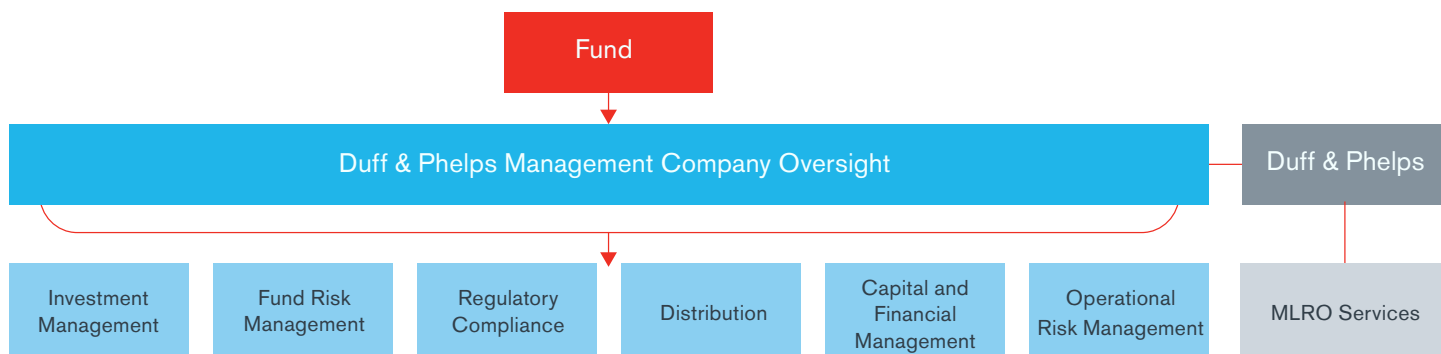
Key features at a glance:

- Independent management company offering from a global leader in compliance and regulatory advisory services
- Fully-fledged, cost effective and flexible management company solutions servicing all investment strategies for established and startup asset managers
- Substantial local operations in Ireland that are financially robust and stable, backed and fully capitalised by Duff & Phelps
- A proven proprietary independent risk solution: Duff & Phelps Risk Analytics Solutions
- Highly experienced team with asset management, risk, governance, regulatory compliance, valuation and distribution expertise to ensure regulatory compliance for your strategy/fund
- Extensive global network working with service providers, asset managers and a wide investor client base
- Added value ancillary services including independent regulatory consulting, independent valuation and MLRO

Authorisation, Distribution and Oversight:

- Meet regulatory substance, governance and legal requirements
- Providing assistance with setting up of the Fund
- Allows Asset Managers focus on investment management and distribute in Europe through our passport
- Optimise the capital raising process, distribution strategy and cross-border operations
- Optimise operating costs, distraction and time
- Provide assurance to investors, stakeholders and regulators as a long-term strategic solution
- Provide expert advice on the selection of administrators and depositaries that are most appropriate to your Fund

OUR SUPER MANCO PROVIDES A RANGE OF FUNCTIONS AND SERVICES



Investment Management

- Oversight of the investment manager's to ensure adherence to investment policy and strategy
- Review of remedial actions to be taken
- Oversight of the portfolio performance against benchmarks

Fund Risk Management

- Creating the permanent risk management function to adopt risk management framework and risk appetite statement
- Independent risk reporting and monitoring
- On-going review of investment manager
- Oversight of the investment risk to ensure it is in line with investment objective, strategy and investor profile

Regulatory Compliance

- Oversight of adherence to applicable legal and regulatory requirements
- Review of complaints (other than for distribution)
- On-going review of the compliance of delegates

CONTACT



Alan Keating

Managing Director, Dublin

alan.keating@duffandphelps.com

+353 (1) 4720765

Distribution

- Review of sales flows and other distribution patterns
- Review of distribution complaints to ensure that they are addressed promptly and effectively

Capital and Financial Management

- Monitor production of annual and semi-annual financial statements
- Monitor annual budget
- Oversee valuation policy
- Monitor accounting policies per financial statements
- Establish and maintain procedures

Operational Risk Management

- Carry out required due diligence on delegates
- Review of monthly delegate reporting
- Review of errors, significant IT issues and complaints
- Review of enterprise risk, cyber risk and business continuity
- On-going review of the compliance of delegates

OUR RECENT AWARDS

BEST COMPLIANCE CONSULTANCY FIRM 2019

European Quant Awards

BEST COMPLIANCE CONSULTANCY 2018

CTA Intelligence Awards

BEST ADVISORY FIRM FOR REGULATION AND COMPLIANCE 2018

HFM European Awards

COMPLIANCE CONSULTING TEAM OF THE YEAR 2017

Women in Compliance Awards

About Duff & Phelps

Duff & Phelps is the global advisor that protects, restores and maximizes value for clients in the areas of valuation, corporate finance, disputes and investigations, cyber security, claims administration and regulatory issues. We work with clients across diverse sectors on matters of good governance and transparency. With Kroll, the leading global provider of risk solutions, and Prime Clerk, the leader in complex business services and claims administration, our firm has nearly 4,000 professionals in 25 countries around the world.

For more information, visit www.duffandphelps.com.

M&A advisory, capital raising and secondary market advisory services in the United States are provided by Duff & Phelps Securities, LLC. Member FINRA/SIPC. Pagemill Partners is a Division of Duff & Phelps Securities, LLC. M&A advisory, capital raising and secondary market advisory services in the United Kingdom are provided by Duff & Phelps Securities Ltd. (DPSL), which is authorized and regulated by the Financial Conduct Authority. M&A advisory and capital raising services in Germany are provided by Duff & Phelps GmbH, which is a Tied Agent of DPSL. Valuation Advisory Services in India are provided by Duff & Phelps India Private Limited under a category 1 merchant banker license issued by the Securities and Exchange Board of India.