



Conflict Review Services

The Maples Group is a market leader in the provision of fiduciary and formation and management services to investment funds, structured finance vehicles and corporate entities established in the Americas, Asia, Europe and the Middle East. We bring in-depth knowledge of a wide range of investment vehicles and structures, including regulatory and investor requirements. This expertise, backed by a robust institutional-grade infrastructure and highly responsive approach to client service, ensures that clients are comprehensively supported in navigating the complexities of today's global business landscape and that the necessary standards of corporate governance are adhered to.

In an environment where regulatory and independent oversight is increasing, large institutions are seeing a need for enhanced conflict advisory reviews on affiliated trade transactions.

Investment advisers buying or selling securities or loans on behalf of their clients may need to obtain specific client consent to a transaction where it constitutes an affiliate trade (also referred to as a principal transaction) or an agency cross transaction (also often referred to as a dual agency trade). In practice such client consents are delegated to a third party service provider on behalf of the client. Conflict review services are therefore different and distinct from a full audit or valuation of assets and are needed to comply with statutory obligations, regulatory requirements or internal policies. In the US market, for example, Section 206(3) of the Investment Advisers Act of 1940 sets out this obligation for registered investment advisers.

The Maples Group recognises the demand for competent service providers to review and approve affiliate trades and has formed a dedicated Conflicts Advisory Review Services team comprised of specialists with relevant technical and operational backgrounds. Our team approach ensures that appropriate resources are available to deliver a highly responsive service.

In each case, we will work with the investment adviser from the outset to determine the types of transactions that may be subject to the conflict review and agree documentation and supporting information to enable the Maples Group as a third party agent to review the trades as efficiently and effectively as possible.

Our pricing varies according to the types of trades requiring review, trade volume and other client requirements such as tight turnaround times. Please do not hesitate to contact us for indicative pricing on our standard terms and conditions.

For more information on our services, please contact:

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