

**Regulatory Services**



## **Accountability Counts**

Headquartered in Dublin, Ireland and with offices in London, New York and Bermuda, Centaur delivers independent fund administration and regulatory services worldwide. Our highly experienced team, clear contractual terms and operational excellence are core to our success and enable Centaur to deliver customized solutions based on our clients' requirements.

Centaur Fund Services Limited is regulated by the Central Bank of Ireland.

**Centaur – putting accountability back into fund administration**

**CENTAUR**  
ACCOUNTABILITY COUNTS

## OVERVIEW

Centaur takes on the bureaucratic burden of regulation. We understand regulation and our outstanding team ensures that our clients remain fully compliant with all regulatory developments and reporting requirements, including AML, AIFMD and FATCA. Our regulatory services include:

- Corporate Secretarial Services
- Anti Money Laundering (“AML”) Services
- FATCA
- Regulatory reporting and filing.

### 1. CORPORATE SECRETARIAL SERVICES

Centaur provides specialised corporate secretarial services that allow our clients to fulfil all of their statutory obligations in a timely and efficient manner. We see the provision of corporate services as being a core part of our offering and have a dedicated team of qualified professionals. Our corporate secretarial services include the following:

#### Meetings

- Organizing and attendance at Board meetings, valuation committee meetings and annual general meetings
- Preparation of meeting minutes and agendas
- Liaison between a Fund’s Investment Manager and the Board of Directors
- Preparing and distributing AGM notices.

#### Regulation

- Preparation of corporate resolutions
- Compilation and collation of records, including duplicate minute books
- Maintenance of the Register of Directors and Officers
- Liaising with the Fund’s sponsoring broker, making all necessary secretarial ISE announcements
- Co-ordination of the execution and approval of Fund’s documents
- Co-ordination of the annual registered fee process
- Liaising with the Fund’s registered office
- Assistance with obtaining certificates of good standing.

#### General Administration and liquidation

- Assistance with the opening of the Fund’s bank accounts
- Assistance with proposal forms and documents for Directors’ and Officers’ liability insurance
- Monitoring the appointment of the Liquidator and liaison for all necessary steps to wind up the Fund

- Ensuring accurate and timely Liquidation Statements are provided to Directors.

### 2. ANTI MONEY LAUNDERING (“AML”) SERVICES

Centaur’s AML experts provide a broad range of consultative services designed to assist clients in all aspects of AML and KYC:

- A professional and sensible approach to AML issues
- Compliance with 3rd EU Money Laundering Directive
- Proactive follow up with investors on an individual basis
- Sanctions and High Risk profile screening
- Ongoing compliance reporting to the Fund - quarterly board meetings and monthly to the investment manager
- Dedicated and experienced AML experts and MLRO dealing with investor compliance:
  - AML and KYC documentation tracking
  - Blocking function available – redemption cannot be paid if the account is non-compliant
  - Documents stored in image format
  - Workflow management including maker / checker rules for all data entry and transactions
  - World Check fully integrated with Mantra (Investor Services system) which allows for continuous screening
  - Provide assistance to investors for their specific AML compliance needs.

### 3. FATCA

Centaur offers both US and UK FATCA compliance services to its clients and manages the registration and the ongoing reporting requirements, including:

- Registration of Funds as FFI's with IRS
- Establishment and maintenance of FATCA status for investors
- Reporting to the relevant authorities
- Acting as Point of Contact for both IRS and local authority enquiries and reporting
- Ongoing monitoring and reporting to the Board that the Fund is meeting its FATCA obligations.

#### 4. REGULATORY REPORTING AND FILINGS

Centaur provides clients a regulatory reporting service including assistance with statutory filings which removes the administrative burden involved in gathering and submitting the data to the financial regulators.