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Summary of SPOT inspections on the obligations incumbent on the depositaries of collective investments when entering into a relationship with and monitoring their client asset management companies


In accordance with the supervision priorities of the Autorité des Marchés Financiers, a series of "SPOT" short thematic inspections concerning the obligations incumbent on the depositaries of collective investments when entering into a relationship with and monitoring their client asset management companies were carried out in the period from January to April 2022. These inspections took place within the framework of the provisions introduced by Directive 2011/61/EU of 8 June 2011 (AIFM Directive) and by Directive 2014/91/EU of 23 July 2014 (UCITS V Directive), supplemented respectively by Delegated Regulation (EU) 231/2013 of 19 December 2012 and Delegated Regulation (EU) 2016/438 of 17 December 2015. The investigations covered a sample group of five investment service providers and covered the period from 18 March 2018 to 31 December 2021. These inspections covered the functions of depositary both of undertakings for collective investment in transferable securities and of alternative investment funds.

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