

Compliance Reporting Services

Market-leading post-trade compliance reporting services for institutional investors and asset managers

Compliance reporting has become an essential part of the portfolio risk management process for asset managers, fund sponsors and trustees. J.P. Morgan's market-leading Compliance Reporting Services enables clients to efficiently detect and manage violations of client-specified investment rules, facilitating risk reduction and demonstrating industry best practices. With more than 6,000 portfolios—including more than 2,000 mutual funds—the firm services a large number of sophisticated investors globally, representing approximately \$2 trillion in assets. Our diverse client list includes corporate and public pensions, investment managers, endowments and foundations, corporate cash, insurers and central banks.

KEY FEATURES AND BENEFITS

Feature	Benefits
Product	Broadest functionality, depth and reporting flexibility in the market helps clients reduce risk, provide operational efficiency and demonstrate industry best practices
Service	Largest compliance reporting service team in the industry, with over 200 clients globally, offers clients customized, innovative and scalable solutions supported through dedicated regional service teams
Technology	Delivered via the J.P. Morgan ACCESS SM Web portal, the state-of-the-art compliance reporting and breach register capability enables clients to efficiently manage rule violations and warnings; unique browser-based technology requires zero technology deployment
Data	Daily verification process for new assets improves the quality of compliance reporting and provides significant operational efficiencies to clients

Highlights

- Client-definable investment rules for regulatory environments, including U.S. SEC (2a-7 and 1940 Act), UCITS, InvG, WFT, South African and Hong Kong Unit Trusts and China SIF
- Client-definable prospectus and mandate rule coverage for prohibitive, concentration, relative, weighted average
- Service incorporates extensive security reference data, including socially responsible investing criteria, credit ratings, country, sector, primary exchange, outstanding shares and parent issuer
- Composite, subfund, pool and fund of fund level testing, with look-through capability for commingled funds
- Benchmark rules, including SRI/ESG indices; database covers more than 2,000 published benchmarks
- Derivatives netting and cover logic, including ability to look through derivative underlying holding and index positions
- Supports third-party accounting data feeds from clients' own accounting platform and third-party administrators
- Independent compliance reporting for securities lending cash collateral
- Integrated client-breach register for investigation and resolution of violations and warnings, with option for extended service team support

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