

Compliance Reporting Services

Market-leading post-trade compliance reporting services for portfolio risk management

J.P. Morgan's market-leading Compliance Reporting Services enables asset managers, fund sponsors and trustees to efficiently detect and manage violations of client-specified investment rules, facilitating risk reduction and demonstrating industry best practices. With more than 200 clients and 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.

BENEFITS AND FEATURES

Benefit	Features
Enhance Returns	<ul style="list-style-type: none"> Derivatives netting and cover logic, including ability to look through derivative underlying holding and index positions Composite, subfund, pool and fund of fund level testing, with look-through capability for commingled funds
Increase Efficiency	<ul style="list-style-type: none"> Supports third-party accounting data feeds from clients' own accounting platforms and third-party administrators Client-definable prospectus and mandate rule coverage for prohibitive, concentration, relative, weighted average Largest compliance reporting service team in the industry, providing customized, innovative and scaleable solutions supported through dedicated regional service teams Delivered via the J.P. Morgan ACCESSSM Web portal; requires zero technology deployment, enables clients to efficiently manage rule violations and warnings
Mitigate Risk	<ul style="list-style-type: none"> State-of-the-art compliance reporting and breach register capability 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 Daily verification process for new assets improves the quality of compliance reporting and provides significant operational efficiencies to clients

Highlights

- Broadest functionality, depth and reporting flexibility in the market helps clients reduce risk, provide operational efficiency and demonstrate industry best practices
- Service incorporates extensive security reference data, including socially responsible investing criteria, credit ratings, country, sector, primary exchange, outstanding shares and parent issuer
- Benchmark rules, including SRI/ESG indices; database covers more than 2,000 published benchmarks
- Integrated client-breach register for investigation and resolution of violations and warnings, with option for extended service team support from J.P. Morgan for breach review and analysis
- Independent compliance reporting for securities lending cash collateral

To learn more, speak to your representative or visit us at jpmorgan.com/visit/compliancereporting