Davis Polk Volcker Portal
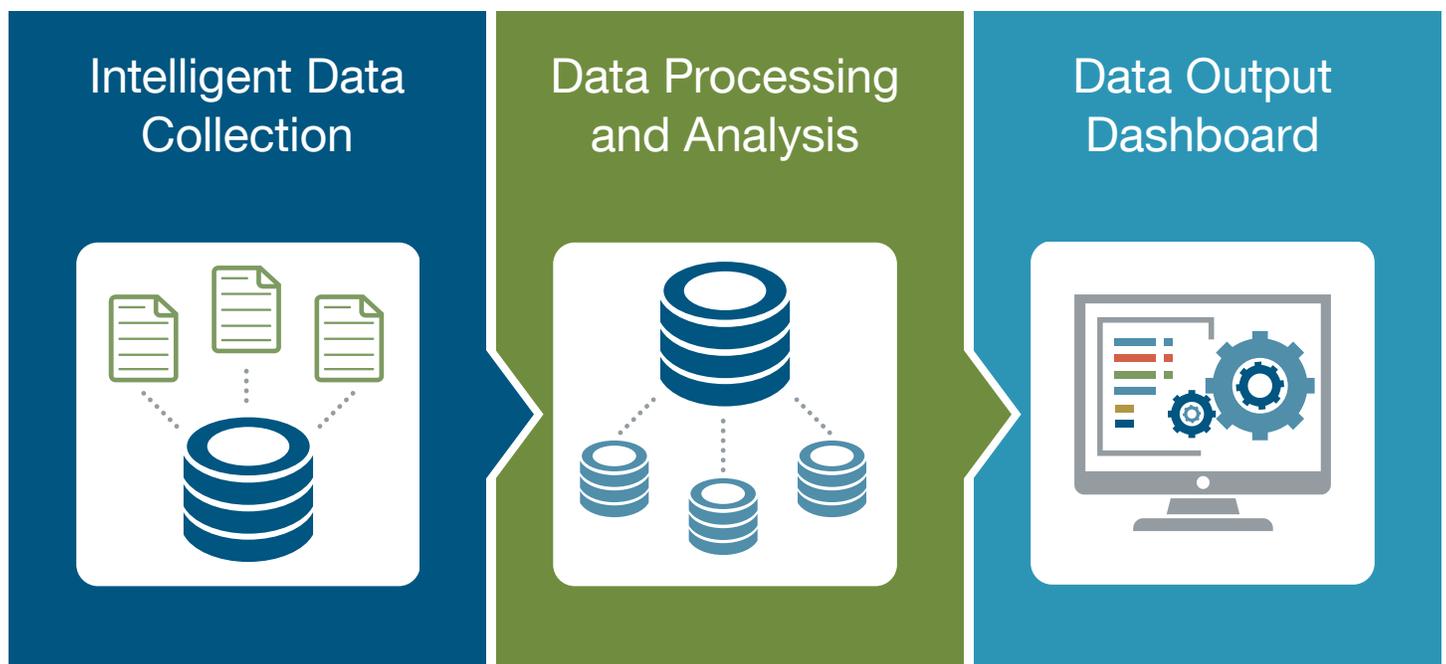
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The Volcker Rule's restrictions on proprietary trading and private fund and securitization activities pose major compliance challenges to banking entities, affecting multiple business lines and control units.

The **Volcker Portal** is a web-based tool uniquely designed to:

- Intelligently and efficiently collect data needed to identify and classify proprietary trading and covered fund and securitization activities in a single, secure database

- Organize, analyze and flag data to facilitate assessments of likely conformance issues

- Provide searchable data, reporting functionality, audit trails, and conformance progress tracking

Intelligent Data Collection	Data Processing and Analysis	Data Output Dashboard

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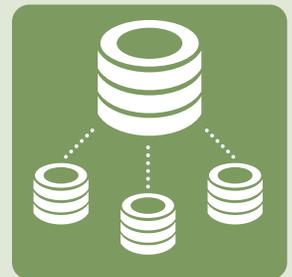
volcker.portal@davispolk.com

1 Intelligent Data Collection

- Plain language questions, including business-friendly explanations of key terms, synthesize difficult concepts; live help available for further assistance and clarification

- Efficient division of questions into those best answered at the desk level and those answered collectively by legal or compliance

- Document capture for consolidation of background documentation necessary for further analysis, audit and follow-up

- Continual refinements to reflect new interpretations and regulatory guidance

- Customized for individual firms, including pre-population of previously collected data

2 Data Processing and Analysis

- Categorization of data to facilitate compliance assessments

- Management-, legal- and compliance-level review and sign-off

- Audit trail of responses and progress

- Identification of red flags

- Process for systematic challenges to ensure data accuracy

- Equipping in-house personnel to update data and follow up with interviews or other outreach as needed with necessary background data already in hand

3 Data Output Dashboard

- Viewable and searchable data through web-based portal

- Export functionality to create reports, prepare regulatory responses as needed

- Tracking of conformance efforts

Please contact **volcker.portal@davispolk.com** for further information.

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