AQMETRICS

Simplify N-PX reporting with AQMetrics

Stay ahead of SEC requirements with confidence, accuracy, and speed

AT A GLANCE

With **AQMetrics**, you gain a partner dedicated to your regulatory success. Offering seamless data management, efficient report preparation, and automated submission, our regulatory technology significantly cuts down on Form N-PX reporting tasks.

Why N-PX compliance matters

Expanded SEC requirements: Form 13F filers must report say-on-pay votes via Form N-PX, even if no votes were cast.

Stringent enforcement climate: in FY 2024, the SEC collected a record $8.2B in penalties, highlighting its intensified focus on reporting compliance.,

Consequences of non-compliance: recent SEC actions fined 11 managers for missing Form 13F filings, with penalties up to $725K.

Reputational and operational risks: beyond penalties, non-compliance can lead to reputational damage, increased regulatory scrutiny, and operational disruptions.

Unlock operational resilience with AQMetrics. Get in touch today.

✉ sales@aqmetrics.com

🌐 aqmetrics.com/form-npx

EU   UK   USA   APAC

CHALLENGES ⌄

As institutional investment managers face expanded SEC obligations under Form N-PX, manual reporting processes are no longer sustainable. AQMetrics offers a purpose-built solution that automates and streamlines your entire N-PX reporting lifecycle, from data ingestion to EDGAR submission.

SOLUTION ⌄

AQMetrics is built for compliance teams and trusted by global financial institutions to manage high-stakes regulatory reporting. Our N-PX solution is **scalable** across multiple legal entities, **cloud-native** and secure and **continuously updated** with the latest SEC requirements.

BENEFITS ⌄

✓ **Streamlined data ingestion**
The AQMetrics application ingests your data, enabling efficient preparation for Form N-PX filings.

✓ **Real-time validation and error checks**
The built-in compliance rules catch gaps and mismatches before submission. A full audit trail is available for internal reviews and SEC audits.

✓ **SEC-ready XML filing**
AQMetrics automatically generates N-PX filings in SEC-compliant XML format, and supports direct EDGAR submission.

✓ **Deadline Management**
The AQMetrics application's dashboard reminders and workflow tools keep your team on track, with status tracking from data ingestion to successful filing.