



ARKIVY

next generation record-keeping in the AWS cloud in compliance with Swiss, EU and US regulations

Arkivy at a Glance

ARKIVY IS A CLOUD ARCHIVING SOLUTION WITH A SPECIAL FOCUS ON FINANCIAL REGULATORY RECORD-KEEPING.

AS A CENTRALIZED COMPLIANCE ARCHIVE, ARKIVY PROVIDES YOUR ORGANIZATION COMPLIANT STORAGE WITH ADVANCED MONITORING, OVERSIGHT AND DATA GOVERNANCE TOOLS THAT WILL HELP ENSURE YOUR RECORD-KEEPING COMPLIANCE WITH SWISS, EU AND US REGULATORY REGIMES.

BASED IN AMAZON'S AWS CLOUD, ARKIVY LOWERS THE ENTRY BARRIER FOR FINANCIALS THAT NEED TO IMPLEMENT A STRATEGIC RECORD-KEEPING PROGRAMME AND PLATFORM THAT PROVIDE UNIFIED COMPLIANCE CONTENT MANAGEMENT AND SERVICES.

WITH ARKIVY CLOUD, YOU GET AN ADVANCED, NEXT GENERATION SOLUTION THAT IS RELIABLE, SCALABLE AND COST-EFFECTIVE.

SAAS BENEFITS

- Per seat pricing
- No capital expense
- No software maintenance
- Fast on-boarding
- Reliability, security and scalability of AWS
- Designed for 99.999999999% data durability p.a.

COMPLIANCE BENEFITS

- Foundation for a strategic FIDLEG/FINSA, MIFID & SEC 17a-4 record-keeping program
- Supports any data type
- Vendor neutral, takes data from any 3rd party vendor system
- WORM storage is double encrypted
- Search and surveillance tools
- Compliance gap and audit reports
- Anti -"content blackout" monitoring
- Data enrichment & curation
- Data governance tools
- Data distribution and transformation services



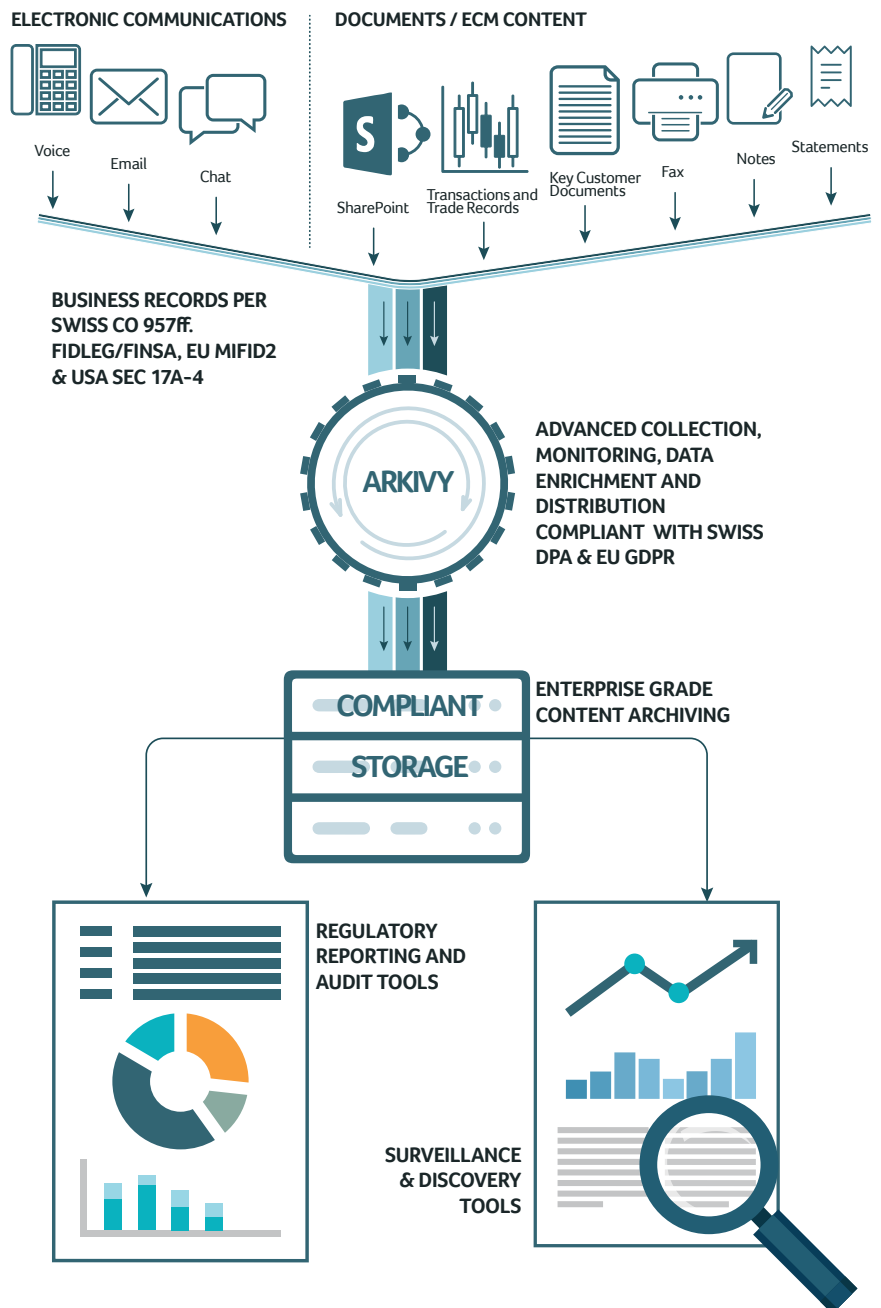
TECHNOLOGY PARTNER

COMPLY WITH CONFIDENCE – CONTACT US FOR HELP WITH YOUR RECORD-KEEPING

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ADVANCED REGULATORY RECORD-KEEPING: COMPLIANCE, AUDIT AND FORENSICS READY



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Built for legal and compliance regulation

FULFILLING INTERNATIONAL FINANCIAL COMPLIANCE REGULATIONS:

Arkivy Feature	FINRA 4511 & SEA 17-a4 (USA -Books & Records)	FINRA 3110 (USA - Supervision)	MIFID2 / GDPR / FIDLEG (EU & SWISS)
Preservation of books and records to WORM electronic storage	✓		✓
Archival of any type of data surrounding financial transactions and the business	✓		✓
Surveillance & monitoring of transactions and communications		✓	✓
Order reconstruction (Finding and tying content together for easier search)		✓	✓
Audit system for the input of records (Ensuring data are in fact archived)	✓		✓
Content export for regulators and data subjects	✓	✓	✓
Personal-data aware (Ability to mark personally identifiable data)			✓

Arkivy can help all financials, from small boutiques to multi-national entities. It was built to manage current and future international regulations.

MULTIPLE CONTENT TYPES AND CONTENT ASSOCIATION SEARCH

All Content Types (25) E-mail (12) Chat (5) Media (7) Transactions (1) Orders (1) **Associated (12)**

Record	Content Type	Creator	Content Brief	Date	Source
5	orders	Mario Rossi (MRI)	Mario Rossi (MRI): Proposal at 2018-03-10T10:49:08Z	2018-03-10 10:49:08.000	EasyTrade
5	chat		Subject: make my Friday! Was it filled? . First Message: make m...	2018-03-09 08:20:12.000	Bloomberg
6	email	From: Mario Rossi <mario.rossi@albgrou.net>	Order 8617981AZ ghc	2018-03-08 13:00:00.000	Exchange
4	chat		Subject: GHC tranche 1 partially filled, 26.5k at 18.55. tranche 2...	2018-03-08 10:20:12.000	Bloomberg
5	email	From: Ana Pallino <ana.pallino@albgrou.net>	re: ghc buyback	2018-03-07 11:15:00.000	Exchange
4	email	From: Mario Rossi <mario.rossi@albgrou.net>	ghc buyback	2018-03-07 11:00:00.000	Exchange
3	chat		Subject: ok, I got the story for family winery , First Message: ok, ...	2018-03-07 10:00:12.000	Bloomberg
3	email	From: Mario Rossi <mario.rossi@albgrou.net>	Order 8617981AZ	2018-03-06 14:25:00.000	Exchange
2	chat		Subject: HI, I got the initial info for order 8613011AX to the cle...	2018-03-06 09:30:24.000	Bloomberg

50 Items per page

Arkivy centralizes and presents all of your content in a single screen. This example shows E-mail, Chat, Voice (Media), Transactions and Market Orders presented in different tabs with a summary of a market order and its execution.

With the Content Association Search, Arkivy finds as much communications and document content surrounding market orders as possible thus saving time and effort when conducting order surveillance or exporting content for legal or regulatory inquiries.

The content associated with the market order shown on the bottom of the screen is presented at the top of the screenshot in the tab labeled "Associated."

Get Original Record | Record Legal Extract | Tag Message

Record #: 5, Year: 2018 Channel id: 3
Tags:
Operator: Mario Rossi

Proposals (1) Executions (1)

Order ID	Order reference	Security symbol	Validity date	Security name
5	8613011AZ	INDB	20180601	Independent Bank Corp
Create date	Market date	Buy-Sell indicator	Price	
03/10/2018 11:49:08 AM	10/03/2018 11:50:08	C (Buy)	35.95	
Currency	Quantity	Client	Market	
EUR	1.633	206 (Family Winery Trust)	00	
Order status	Account	Executions count	Investor	
3 (On Market)	FAWITR (Family Winery Trust)	1	-	
Executor	PDN	Anomalia count		
484 (ABC Brokers)	SOR000051483426167	0		

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How it works

REGULATORY BENEFITS

As a Unified Repository of Record for All Content

- Compliance Focused Approach
- Transparency Into Record-Keeping Operations
- Single Reference Data Source
- Ties Documents, E-Comms, Voice and Transactions together in a Single Index
- Advanced Compliance Search
- C-Level & Regulatory Assurance

OPERATIONS BENEFITS

As a Centralized Record Keeping and Content Management Service

- Centralizes Content Management
- Reduces Operational Complexity
- Builds a Systemic Institutional Memory of Archiving Operations
- Collects Any Content Type
- Risk Management: Archive Blackout Monitoring & Alerts
- Reduces or Eliminates Utilities & Ad-hoc-ware
- Near Real-Time Content Distribution & Transformation
- Enterprise-wide WORM Service
- Reduction of Archiving Operational Costs

DATA GOVERNANCE BENEFITS

As a Reference Data Set of All Regulatory Content

- Complete Data Inventory From Source to Cold Storage
- Connected E-comms, Transaction and Document Index
- Provides Data Lineage Tracking and Tools
- Data Enrichment via Advanced Curation
- Can be Extended Into a Centralized Client Data Hub (Data Warehouse)
- Comprehensive Reporting
- Audit & Forensics Ready

ELECTRONIC COMMUNICATIONS



DOCUMENTS / ECM CONTENT



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Regulatory benefits

THE UNIFIED REPOSITORY OF RECORD FOR CONTENT



Holistic Approach: Arkivy extends the concept of archiving to include management of the operations around the archiving process and provides an eco-system of data management tools and services for the content. This embrace of the full content collection and archiving process provides the necessary visibility and tools to manage regulatory content in a Compliance focused approach that provides peace of mind under any regulatory regime from Swiss FIDLEG/FINSA to EU MIFID2, US Dodd-Frank, SEC 17a-4 and beyond.



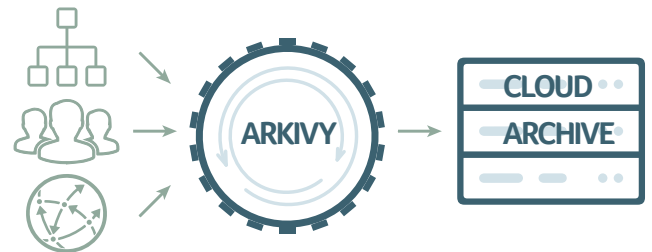
Transparency Into Operations: With a real-time dashboard, alerts and reports, the Legal and Compliance team have new oversight tools into the operations of the team administering the archiving. No more surprise content blackouts. With this level of transparency, the firm can attest to regulators that they are properly monitoring and governing the archiving of their regulated content.



Single Reference Data Source: With all of your regulated content in a single archiving solution, you'll be able to search for content and generate reports for audit and regulatory inquiries efficiently and without need to collate data from multiple data stores in different formats thus saving time. This reference repository can be seen as a data warehouse which can be accessed by other applications that may need the content for other purposes.

Curation & Analytics:

Arkivy can add organizational, geographic, human resource and business relationship data to the content index. With this additional data, new insights can be gained from searches of the data across dimensions that have not typically been previously available, or if so, only after significant post-processing effort.



Foundation for 'Best of Breed' Discovery & Surveillance Applications: Arkivy allow export of the curated content to any 3rd party application that may be more tailor fit to a specific task such as AML Surveillance, Risk Reporting or Advanced E-Discovery. Arkivy will ensure that all exported content are tracked for governance and data leakage purposes. This will be especially important for finding private data covered under the forthcoming GDPR and Swiss DPA regulations.

C-Level & Regulatory Assurance: Knowing and understanding where all regulatory digital content originates, flows to and eventually stored is of the utmost concern to executives responsible for oversight of critical business records under Swiss, EU and US regulatory regimes. With our holistically designed reporting and oversight tools, your executive officers responsible for business record-keeping will be able to perform their oversight more efficiently and with confidence.



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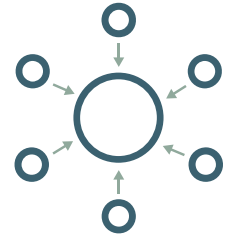
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Operations benefits

A CENTRALIZED RECORD KEEPING AND CONTENT MANAGEMENT SERVICE

Centralize Content Management

Keeping data in different storage, search and logistics silos will consume tremendous resources when trying to meet the new alphabet soup of regulatory requirements. Centralizing content will yield significant operational data management and production savings.



Reduce Operational Complexity: By implementing a centralized service point for record-keeping, your organization's different business areas can offload duplicative tasks and share infrastructure, headcount and software costs. By reducing data islands and silos, you can have more streamlined operations. With the burden of managing the logistics of storage, retrieval, reporting and presentation lifted, application owners can shift their attention on managing and optimizing their applications and leave the archiving to the enterprise system.

Systemic Institutional Memory of Archiving Operations

A centralized system eliminates the need to implement multiple ad-hoc and utility software instances and then track their data processing with spreadsheets, the method of default by most organizations. Spreadsheets are not built to systematically manage information systems for the long term. Personnel and organizations change. Having a dedicated Information System to manage archiving operations is critical to understanding the historical context of data as it flows from source to archive.



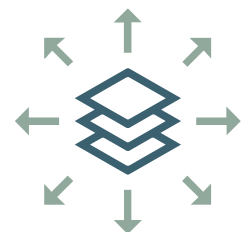
Risk Management: Blackout Monitoring & Alerts

As a centralized service point collecting documents for record-keeping, Arkivy is in the unique position of being able to measure historical volumes and determine if current volumes warrant alert if there is a reduction in expected data. This helps ensure immediate action is taken to prevent archive content blackouts – a significant risk in large, complex environments.



Methodical Content Distribution

Working as a centralized content services system, Arkivy has advanced data sharing abilities. If data flowing through Arkivy are required for other systems, Arkivy can provide it as-is or reformatted into any format the requesting system may need. Arkivy can do this in near real-time. In the new era of cross platform content sharing, knowing who requested content, how much and what they got are important for governance and data leakage prevention. This will be especially important for private data under the forthcoming EU GDPR and Swiss DPA regulation. With Arkivy, you will know all relevant information about the consumption of your archived content by other systems.



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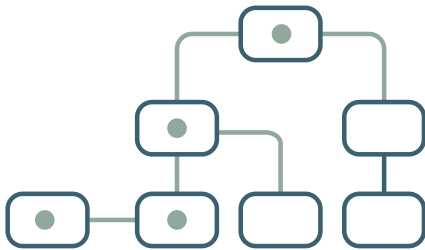
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Data governance benefits

A REFERENCE DATA SET OF ALL REGULATORY CONTENT

Complete Data Inventory

With all of your regulated content in a centralized content storage solution, you get a holistic view of all of your regulatory records with flexible assignment of retention periods as well as the ability to hold records for legal and audit purposes.



Data Lineage & Stewardship

With the forthcoming regulatory changes, it will be critical to manage where content is collected, stored and distributed. With stewardship data collected and reported, different business units also get the ability to see in detail the archived state of their content and where it has been distributed. This will be especially important for finding private data covered under the forthcoming EU GDPR and Swiss DPA regulations.

Data Enrichment

With the additional organizational, geographic, human resource and business relationship data from Arkivy's curation, your reference store provides more content for analytics and better correlations between data types across different document and communications systems. Your organization will gain search insight on many new data dimensions.



Centralized Client Data Hub (Data Warehouse)

With the Arkivy metadata index, your disparate records converge into a powerfully linked reference data set that is in essence a new data warehouse that can be used for advanced analytics and comprehensive reporting on regulatory content.

Rich Reporting

Reporting is a key feature of the reference data set. All parties that have sent content to the service point will be able to see reports of their content and its activity while in transit and at rest in the archive or downstream systems. This provides all subscribing parties reassurance that their data are being properly archived and governed.



Audit & Forensics Ready

As a reference data set with full data governance applied to the collection, storage and distribution of regulated content, your internal audit team will have an advanced tool to conduct audits and create reports that demonstrate to regulators that your organization is in fact complying with its record-keeping requirements. Your legal team will in turn have a comprehensive tool to discover all relevant content related to legal and regulatory matters.

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