

## Solution at a Glance

**MOBIUS IS A ROBUST AND SCALABLE ENTERPRISE CONTENT ARCHIVING AND MANAGEMENT SYSTEM.**

**PAIRED WITH THE ARKIVY DIGITAL CONTENT GATEWAY, YOU GET A UNIFIED CONTENT ARCHIVING AND INFORMATION GOVERNANCE SYSTEM THAT IS MIFID2 AWARE AND READY.**

### A REPOSITORY OF RECORD

With Mobius, you can capture and archive all of the information that drives your business and is required for record-keeping under MIFID2 archiving rules. With Mobius as your centralized 'MIFID2 Compliance Repository of Record,' you can store, analyze and deliver all of your MIFID2 impacted data quickly and with confidence.

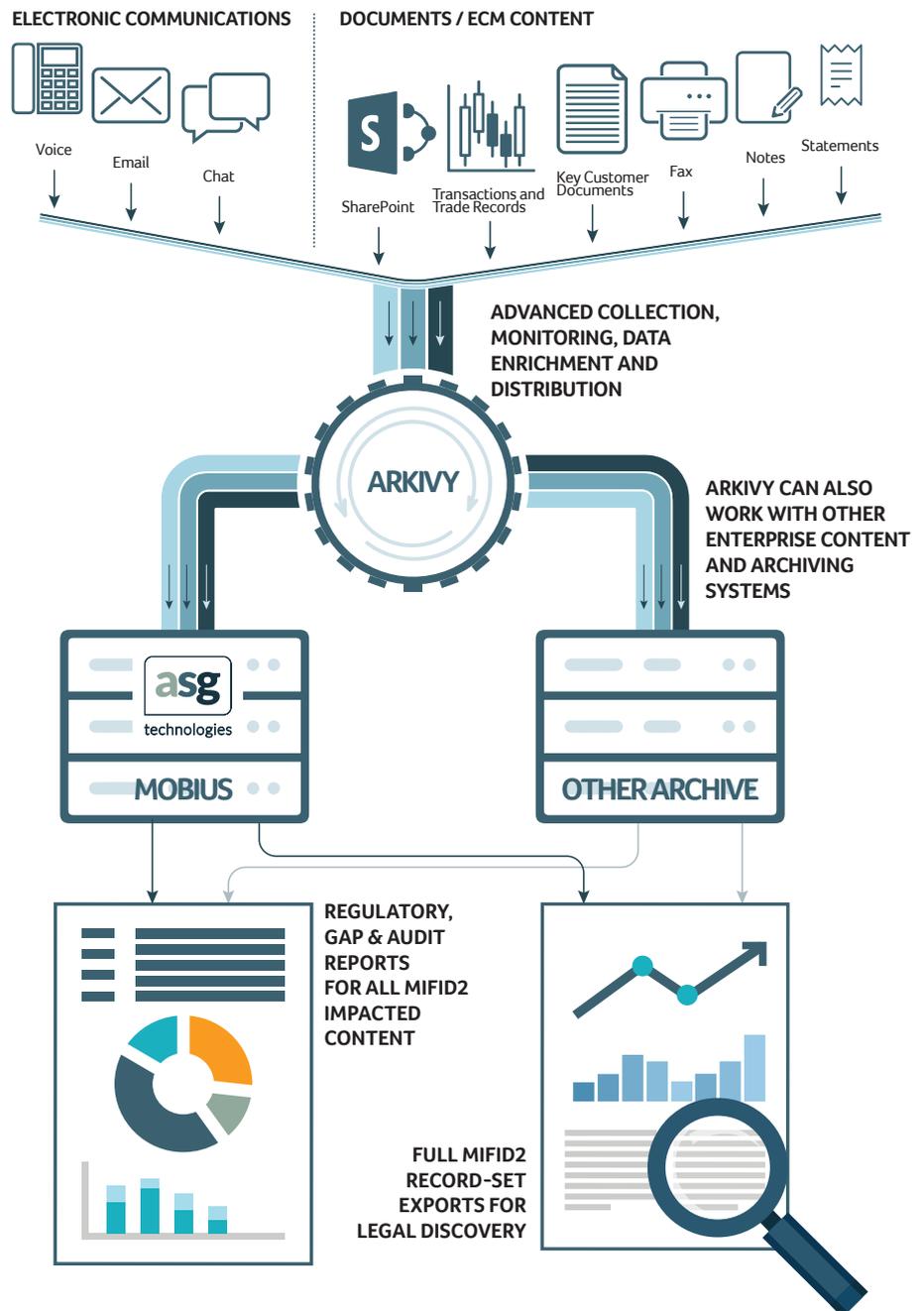
### HIGH INTEROPERABILITY

Mobius works with your existing technology, cloud-based environments and business processes, so you don't have to rip-and-replace decades of investments. You can archive and manage all content regardless of type, volume, platform, storage device or viewing client in virtually any computing environment.

### NEW MIFID2 READY CAPABILITIES

With the Arkivy content gateway system, Mobius gains advanced electronic communications collection, data flow monitoring, data enrichment and content distribution features in a robust data governance framework so you can be assured that the content flowing into and out of your Repository of Record is fully accounted for and compliant with MIFID2 record-keeping requirements.

## MIFID2 RELEVANT CONTENT



*\* ASG's Mobius and Arkivy are highly integrated systems, however Arkivy can work with other content archiving systems as a collection gateway and information governance system. For more information, please contact us.*

## How it works

### REGULATORY BENEFITS

As a Unified Repository of Record for All MIFID2 Content

- Holistic Approach
- Transparency Into Operations
- Single Reference Data Source
- Ties Documents, E-Comms, Voice and Transactions together in a Single Index
- Actionable Insights from Analytics
- Foundation for 'Best of Breed' Discovery & Surveillance Applications
- C-Level & Regulatory Assurance

### OPERATIONS BENEFITS

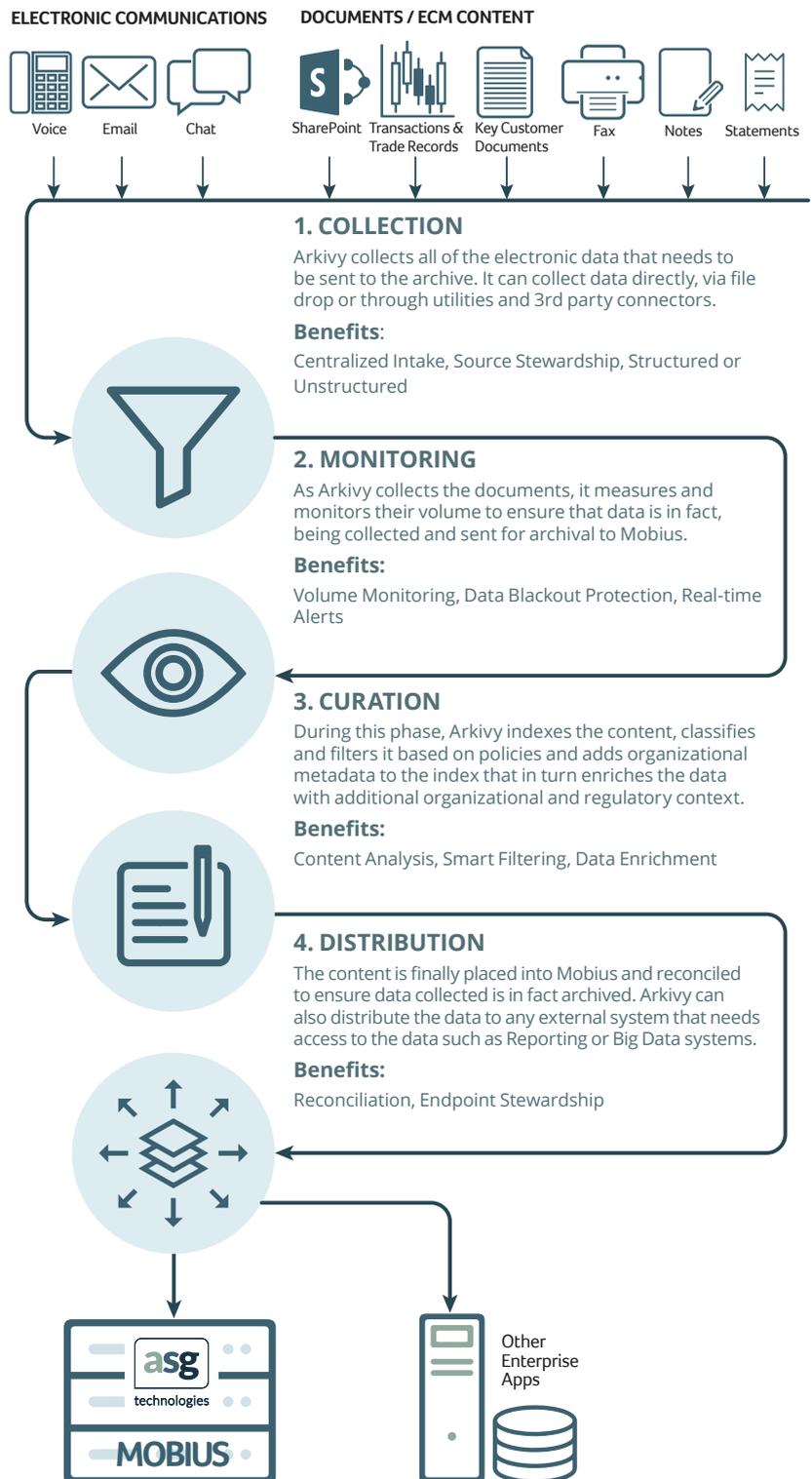
As a Centralized MIFID2 Record Keeping Service

- Centralize Content Management
- Reduce Operational Complexity
- Systemic Institutional Memory of Archiving Operations
- Collection from Disparate Sources
- Risk Management: Blackout Monitoring & Alerts
- Reduce or Eliminate Utilities & Ad-hoc-ware
- Methodical Content Distribution
- Enterprise-wide WORM Service
- Reduction of Archiving Operational Costs

### DATA GOVERNANCE BENEFITS

As a Reference Data Set of All MIFID2 Content

- Complete Data Inventory
- Connected E-comms, Transaction and Document Index
- Data Lineage & Stewardship
- Data Enrichment
- Centralized Client Data Hub (Data Warehouse)
- Rich Reporting
- Audit & Forensics Ready



## Regulatory benefits

### THE REPOSITORY OF RECORD FOR ALL MIFID2 ARCHIVAL CONTENT

Under MIFID2, Compliance personnel will bear the burden of ensuring that their firm is in fact complying with MIFID2 record keeping rules.

Per ESMA's clarifications, simply archiving data is not enough. Firms must have policies to determine what needs archiving and they must monitor their record-keeping processes. Employees must be educated on the firms content archiving policies and the company's management must ensure oversight of the archiving program.

Our solution helps Compliance officers with these new governance tasks by providing risk management, oversight and data analysis tools that help them produce a strong culture of compliance and ethics around MIFID2 content record-keeping.

For complex regional and global enterprises, cross-border data privacy risks are managed via rule based policies and the distributed infrastructure of our solution.



**Holistic Approach:** Your MIFID2 archival content will come from many sources in complex ways. We collect, curate, archive and distribute the disparate content sources in a rational and standardized way to minimize content blackout risk while preserving lineage. Our wide-angle collection and archiving system will give you the ability to fully account for your data from source to archive.



**Transparency Into Operations:** With a real-time dashboard, alerts and reports, the Legal and Compliance team has 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 the Regulators that they are properly monitoring and governing the archiving of their MIFID2 impacted content.



**Single Reference Data Source:** With all of your MIFID2 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:

Mobius and Arkivy allow export of the curated MIFID2 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 regulations.

**C-Level & Regulatory Assurance:** Knowing and understanding where all business content originates, is stored and where the data eventually flows is of the utmost concern to executives responsible for managing critical business records under MIFID2 per ESMA's clarifications. With our holistically designed system, your corporate officers responsible for MIFID2 recordkeeping compliance will be able to perform their oversight more efficiently and with confidence.

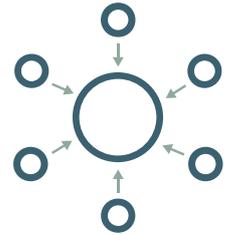


## Operations benefits

### THE CENTRALIZED MIFID2 RECORD KEEPING SERVICE

#### Centralize Content Management

Providing virtually unlimited scalability and flexibility, Mobius, an industry leading ECM solution, enables the centralization and consolidation of all MiFID2 and Non-MiFID2 related record-keeping activities in one infrastructure, reducing costs while maintaining integrated access to all available information and a single view to transactions, customers and activities.



**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 for the critical task of MIFID2 record-keeping.

#### 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 managing and complying with MIFID2 record-keeping requirements over the long term.

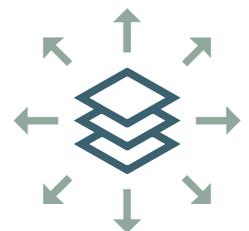


#### Risk Management: Blackout Monitoring & Alerts

As a centralized service point collecting documents for record-keeping, Arkivy and Mobius are 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 content archiving blackouts – a significant risk in large, complex environments.

#### Methodical Content Distribution

Getting data into the archive is only one half of the operational burden. Sharing content amongst systems is also very important. Sharing MIFID2 reference data helps reduce the cost of providing analytics from external data marts. 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 GDPR regulation. With Mobius & Arkivy, you will know all relevant information about the consumption of your archived MIFID2 records.

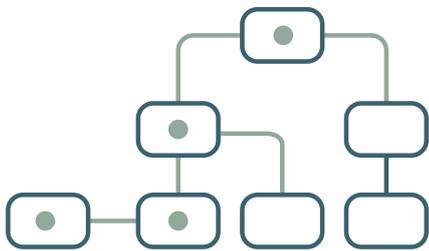


## Data governance benefits

### A REFERENCE DATA SET OF ALL MIFID2 CONTENT

#### Complete Data Inventory

With all of your MIFID2 content in a centralized content storage solution, you get a holistic view of all of your regulatory records. You get flexible assignment of retention periods, initiated by business events and calculated based on assigned metadata, as well as the ability to hold records for legal and audit purposes.

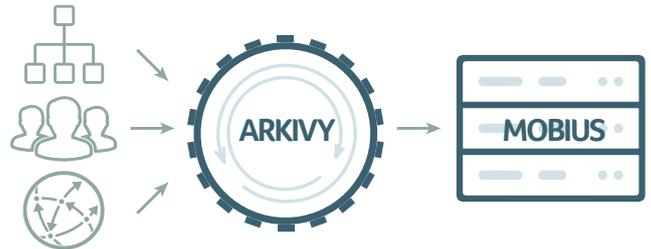


#### Data Lineage & Stewardship

Under MIFID2, knowing which systems generated regulated content will be critical to managing where it is stored and ultimately distributed. With stewardship, different business units also get the ability to see in micro-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 GDPR 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 analytical insight on many new data dimensions.



#### Centralized Client Data Hub (Data Warehouse)

With the Arkivy metadata index, your disparate MIFID2 records converge into a reference data set that is in essence a new data warehouse that can be used for advanced analytics and comprehensive reporting on MIFID2 impacted 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 MIFID2 content, your internal audit team will have an advanced tool to conduct audits and create reports that demonstrate to ESMA and NCA's 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.