

REGCLOUD

Highly Secure | Fully Managed | Cost Optimized



ISO 27001 Certified

Upholding the highest standards of information security is of tremendous importance to us, and we're pleased to have achieved ISO 27001 certification, the de facto standard in the global financial services industry.

—VLAD ETKIN,
CHIEF TECHNOLOGY OFFICER,
AXIOMSL

Harness the Power of the Cloud for Risk and Regulatory Reporting

It is challenging for financial institutions (FIs) to manage the cost and complexity of today's rapid regulatory change and ever-increasing data volumes. The cloud beckons – as a means to address challenges and reduce the total cost of ownership (TCO) of regulatory solutions. Matured over recent years, the cloud is now a key driver of enterprise-class business success, enabling agility and cost optimization. However, FIs moving to the cloud for risk and regulatory reporting must do so prudently.

While constantly facing budget and resource constraints and under stringent time pressure, FIs must maintain alignment with regulatory requirements and protect their sensitive material non-public information (MNPI). FIs must determine the best, most secure way to obtain the scale, cost and agility benefits of the cloud.

AxiomSL's RegCloud

AxiomSL's RegCloud offers a set of cloud-native technical and operational capabilities that enable FIs to harness the power of the cloud for their risk and regulatory data-management and reporting initiatives running on ControllerView[®], AxiomSL's data integrity and control platform. In addition, RegCloud enables FIs to extend collaboration on regulatory initiatives enterprise-wide by effectively eliminating location and time-zone barriers to productivity.

RegCloud is a fully managed, hosted platform that enhances process efficiency and time to market, reduces IT maintenance cost and provides the end-user with:

- Continuous updates and enhancements
- Increased application availability and accessibility
- Technical and application management
- Optimized system performance
- Streamlined service from a single provider

ISO 27001 certified, RegCloud's application-centric, sophisticated security model delivers:

- Securely outsourced infrastructure
- Operational risk mitigation
- Continual security innovation

With regulatory reporting securely deployed on RegCloud, FIs are relieved of the burden and distraction of owning and operating complex hardware and software infrastructures and become more agile and innovative. They can now focus on achieving strategic value from successful risk and regulatory compliance programs.

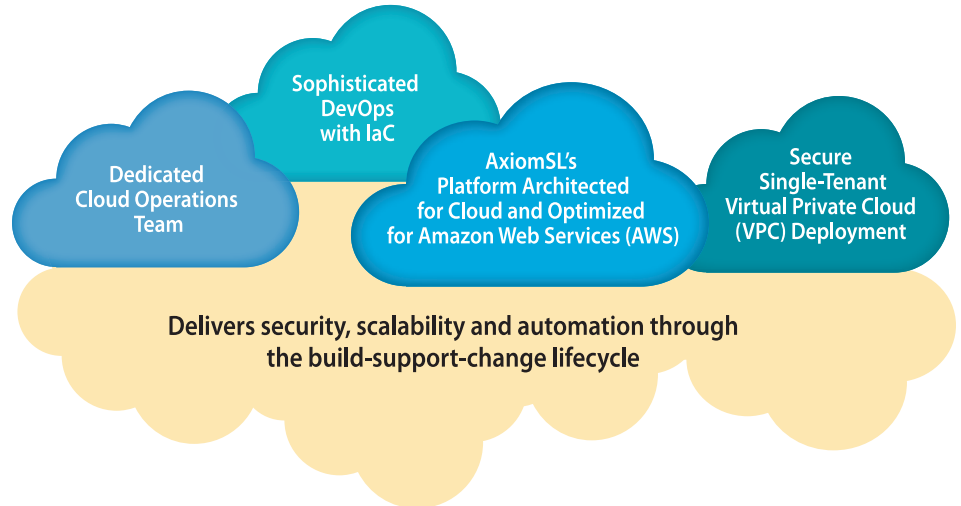
KEY FEATURES

- VPC DEPLOYMENT
-
- SEGREGATED OPERATIONS TEAM
-
- TIMELY UPDATES TO LATEST FEATURES AND FUNCTIONALITIES
-
- TIGHT ACCESS CONTROL WITH CLIENT-ACCESS SECURITY
-
- STRONG DATA ENCRYPTION IN FLIGHT AND AT REST
-
- PROVISIONING, TESTING AND SERVICE MONITORING
-
- PENETRATION TESTING AND VULNERABILITY MANAGEMENT
-
- AUTOMATED SECURITY-EVENTS MONITORING
-
- SECURITY REVIEW, PERIODIC WAR GAMES
-
- ROBUST TECHNOLOGY RISK-MANAGEMENT FRAMEWORK
-
- ARRAY OF ESTABLISHED INFORMATION SECURITY POLICIES AND PROCEDURES
-
- ADHERENCE TO RELEVANT SECURITY AND OPERATIONAL STANDARDS

AxiomSL's RegCloud Framework

At RegCloud's core is AxiomSL's ControllerView regulatory data-management platform architected for the cloud and enhanced to take advantage of Amazon Web Services' (AWS') sophisticated security, scalability and automation features. As depicted in the diagram, one of the key elements of the framework is that – in contrast to typical multi-tenanted models – AxiomSL deploys the RegCloud based on a secure virtual private cloud (VPC) for each FI.

Key Elements of the RegCloud Framework



Its state-of-the-art DevOps processes enable RegCloud to deliver the highest security levels, minimizing human interaction with the data throughout the build-support-change lifecycle. Sophisticated tools and techniques leverage infrastructure as code (IaC) to deliver automation from the initial provisioning of the environment through its ongoing upgrades.

In conformance with industry-standard operations and technology risk-management best-practices, RegCloud's framework also incorporates AxiomSL's separate cloud-operations team of regulatory and cloud-specific technical subject-matter experts. This segregated, dedicated team manages the technology and technical operation of the regulatory data-management process, adhering to all relevant security standards and regulatory guidelines.

AxiomSL's cloud implementation combines the benefits of absolute data segregation and FI-specific data sovereignty with the efficiencies of scalable solutions and automated change management.

Thus, FIs can focus on the process, data integrity and controls associated with their regulatory commitments, while benefitting from RegCloud's security, scalability, efficiency and innovation.

Three Pillars of RegCloud Deployment

Highly Secure | Fully Managed | Cost Optimized

I. Highly Secure

- Dedicated, single-tenant customer environments
- Application-specific, best practice-aligned security architecture
- Data encryption at rest and in transit
- Complete data segregation
- Intelligent threat detection
- Platform hardening
- Role-based access control
- Ongoing penetration testing of the environment and application code
- Secure connectivity through IPSEC VPN tunnels or Direct Connect
- ISO 27001 certification and SOC 2 reports
- Aligned with regulatory requirements for outsourcing arrangements

II. Fully Managed

- Incident and change management ownership of the full stack of infrastructure up through the ControllerView application tier
- Dedicated RegCloud operations, DevOps and Service Management teams
- Automated, hot disaster-recovery environment with annual disaster-recovery plan testing
- Data backup and retention
- Comprehensive infrastructure and application-specific monitoring
- Performance management
- Business-focused application-level service level agreement (SLA)

III. Cost Optimized

- Independently accessed AWS Well-Architected-Framework covering operational excellence, security, reliability, performance efficiency and cost optimization
- Geographic deployment in most AWS Regions
- DevOps automation of all maintenance and upgrades of the full infrastructure stack
- AxiomSL's unique knowledge and economies of scale deliver optimal security and performance at a reasonable cost

KEY BENEFITS

OUTSOURCES HARDWARE AND SOFTWARE INFRASTRUCTURE REDUCING COST AND SHORTENING TIME TO MARKET

REDUCES INFRASTRUCTURE REDUNDANCY AND DEVALUATION

FACILITATES ACCESS TO DATA

PROVIDES A SCALABLE, FLEXIBLE ARCHITECTURE THAT OPTIMIZES RESOURCE UTILIZATION AND TCO ACROSS THE REGULATORY COMPLIANCE PROCESS

ENSURES COMPLIANCE WITH REGULATORY CHANGES

MITIGATES BUSINESS, IMPLEMENTATION AND OPERATIONAL RISKS, ENABLING SECURE CLOUD DEPLOYMENT

INCREASES EFFICIENCIES AND REDUCES DUPLICATION OF EFFORT

AxiomSL's RegCloud:

The best way to the cloud for risk and regulatory reporting

Secure cloud tooling and powerful automation driven by AxiomSL's regulatory and technical subject-matter expertise

AWARDS

and RECOGNITION



Chartis RiskTech
Quadrant
Category Leader
Data Integrity &
Control Solutions 2018

Chartis RiskTech
Quadrant
Category Leader
Data Integrity &
Control Solutions 2018

Chartis RiskTech
Quadrant
Category Leader
Best Customer Satisfaction
Ranking 2015

Chartis RiskTech
Quadrant
Category Leader
MiFID II Reporting
Solutions 2017

Chartis RiskTech
Quadrant
Category Leader
Self-Side Risk Management
Technology 2015



Risk Data Repository
and
Data Management
Product of the Year



IFRS 9 Enterprise Solution of the Year
and
Regulation Capital Calculation
Product of the Year



Best Reporting
Product
2017



Best Reporting Platform
for the Sell-Side 2018
and

Best Implementation at a Sell-Side Firm
2017 and 2016



Best Reporting
System Provider
2015



Outstanding Project
Collaborative Initiative
for
MAS 610/1003
Open Taxonomy
2018



Compliance in Risk Technology Implementation
Risk Technology Implementation 2013
and
Achievement in Risk Analytics Technology
Risk Management Awards 2013



Best Risk Calculation
for Regulatory
Compliance



Most Innovative
Use of a Vendor
Solution to Address
a Dodd-Frank
Requirement



Most Innovative
Use of a Vendor
Solution to Address
a Dodd-Frank
Requirement



Best Collaboration Initiative
2018

Best Reporting Initiative
2014

AXIOMSL®

AxiomSL is a global leader in risk-data management and regulatory-reporting solutions. Leveraging its more than 25 years' experience, AxiomSL combines its deep industry experience and intelligent data management platform to deliver solutions and services around regulatory and risk reporting, liquidity, capital and credit, operations, trade and transactions, and tax analytics. Its client base spans regional and global financial institutions with more than \$43 trillion in total assets and investment managers with more than \$9 trillion in assets under management. It covers more than 110 regulators across 55 jurisdictions.

AxiomSL's collaborative platform is known for its robustness, adaptability, transparency and state-of-the-art data-lineage module. The platform seamlessly integrates clients' source data from disparate systems and multiple locations without constraint. Its enterprise-wide approach enables clients to reduce implementation costs, accelerate time to market, deliver trusted information and defend audits.

AxiomSL's cutting-edge platform, technical and regulatory expertise and outstanding service have been recognized by many industry leaders and observers, including the Waters Technology Rankings, RegTech Awards, American Financial Technology Awards, The Asian Banker Award and Chartis RiskTech100® rankings.

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