



APPLICATION COMPLIANCE MANAGER

ACM helps your firm automate the management of application compliance reviews. Be better prepared for audits from the data providers.

All too often the management of market data application compliance reviews is a time consuming, ad hoc, manual process which requires a lot of work, particularly to match responses to your inventory.

Application Compliance Manager (ACM) is a new module in the MDSL product suite which integrates with Market Data Manager (MDM) to bring efficiency to the issuance, completion and management of market data compliance surveys. We have a standard set of customizable questionnaires which can be emailed out, in bulk if necessary, to nominated application owners.

The owners simply follow email links to the surveys that feature questions driven by your inventory data (for example, vendor names, services, users, install locations, business lines etc.).

Application owners can attach supporting files and can pass the questionnaires onto other users if needed. Once completed, submission of the questionnaire passes it to a designated Administrator for review. You can schedule recurrences of the questionnaires for annual reviews to ensure continued compliance. ACM also features a customizable reporting model and web dashboards allowing you to create reports to assist with your compliance management and to prepare for vendor audits.

The Compliance Manager features a questionnaire engine which can also be used for additional use-cases such as reviewing Commission Sharing Agreements (CSA), Business Continuity planning, data security policies, contract renewals and more.

MDSL Technology Expense Management

My Inventory Dashboards Requests Self Cert **Compliance** Antonio Banderas

Questions Admin

Owner: Banderas, Antonio
Questionnaire Type: Application
Questionnaire: ModelView Add Questionnaire

Questions

What is the name of the application? ModelView

What are the Business lines using this application? Capital Markets Add to List

What Platform/Framework does this application come under? Standard 1

What is the coding language of the application? C+

Application Type/Category
Please select an option
End User Desktop (User GUI)
Server Display (client-server)
Server Hybrid (client-server with some back-end calculations)
Server Non-Display (derived data/New Original Works)
Server Non-Display (Algorithmic Trading / Order Execution / Black-box)
Other

Business Activity performed by Application

Was it developed in-house, or by a third party?

Application Version Number

Operating System & Version

API / Middleware & Version

Status of Application Please select an option

Please provide regions where it will be installed Please select an option

Please provide End User location Type to search Add to List

Please provide a technical schematic of the application and a schematic dataflow diagram

Notes

- **End User Desktop (User GUI)**
-> Software which sits on the end user's desktop and only displays data whilst the application is running and based on that end user's entitlements only.
- **Server Display (client-server)**
-> Also known as "Server Display / Pass-through Application Server". Client software sits on the end user's desktop and only displays data whilst the application is running and based on that end user's entitlements only. Server might persist some of that data but only displays data the users is entitled to. Does nothing to the actual data.
- **Server Hybrid (client-server with some back-end calculations)**
-> As per Server Display, but the server performs some form of calculation or analysis on the data and "adds value". This will almost always require that both the end user is permitted for the data on display in the GUI and that the server pays Non-Display Usage fees.
- **Server Non-Display (derived data/New Original Works)**
-> Server produces new data which cannot be reverse engineered back to the source data.
- **Server Non-Display (Algorithmic Trading / Order Execution / black-box)**
-> Server is a fully isolated black box. All data which goes in, never comes out again. Resultant expressions or triggers or acknowledgments or actions might come from the box, but no data (which would be "derived data").

Discard Save Submit

Application Compliance Manager assists with:

New application assessments

- ✓ Send questionnaire to stakeholders to ensure data usage compliance
- ✓ Ensure required licenses and entitlement reporting processes are in place before the application enters production

Reviews of existing applications

- ✓ Is data still being used in accordance with usage rights and restrictions?
- ✓ Track changes which have been made to the data and to whom the data is made available
- ✓ Investigate applications which are no longer in production

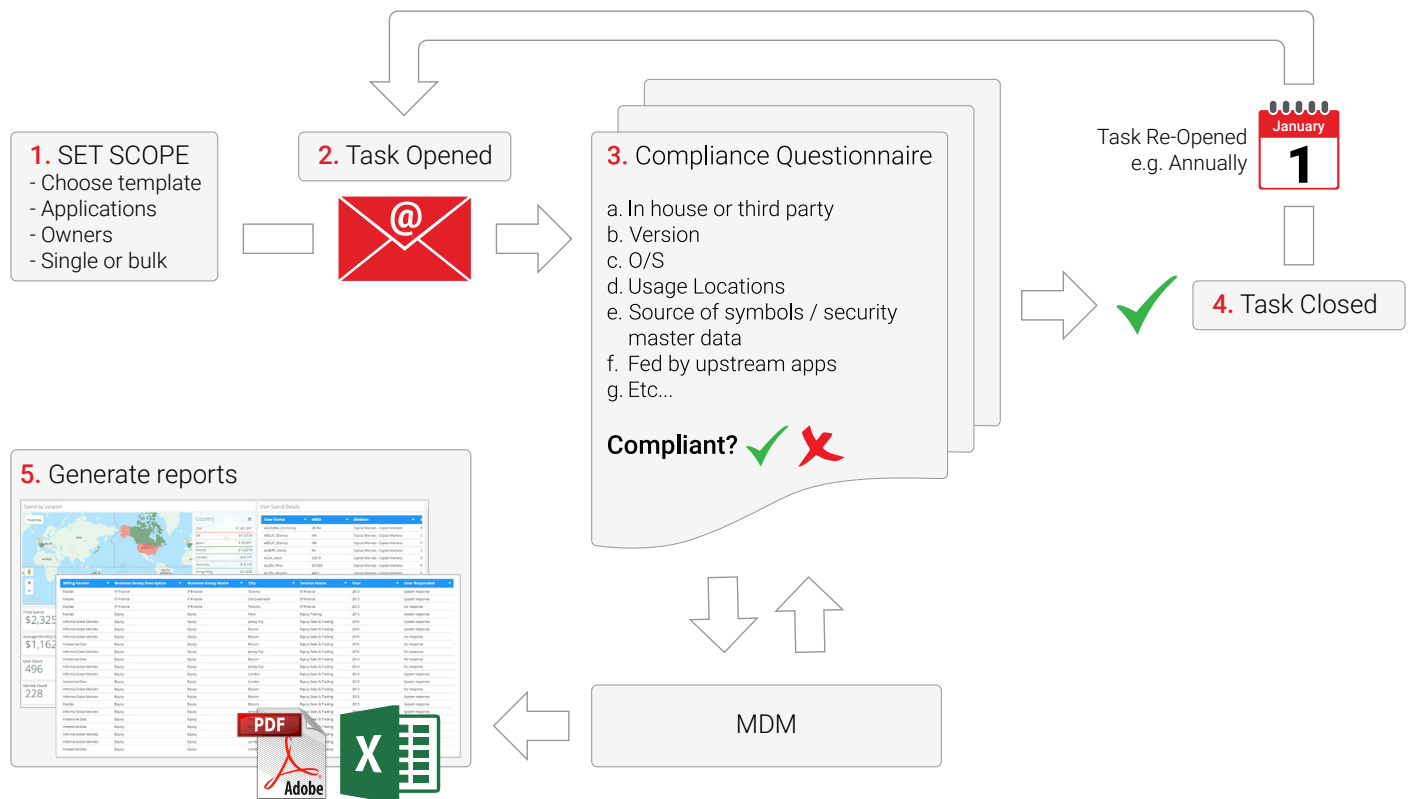
Current and historical reporting

- ✓ Provide compliance review data for exchange audits (often contractually required)
- ✓ Report monthly snapshots of entitlements for all applications (by individual login)
- ✓ Ensure the bank is in the best position to respond to changes in exchange rules
- ✓ Visualize the connections between the downstream and upstream applications using a service

Task Management

- ✓ Administrator bird's-eye view of compliance survey completion status
- ✓ Application Owners 'To-do' list of uncompleted compliance questionnaires
- ✓ Automated email alerts to remind owners to use the tool

Application Compliance Workflow:



Contact MDSL to arrange a demonstration

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