Autonomy Global Capital Markets

A World’s First

The capital markets today face unprecedented challenges, with scrutiny from investors, shareholders, and regulators. This dynamic requires that market participants perform at continually increasing levels of operating efficiency, while also managing to far more rigorous compliance obligations. For too long, operational information has been inaccessible to compliance functions, while compliance needs have been only roughly integrated into operational systems.

Autonomy Global Capital Markets (GCM) solutions, built on Autonomy IDOL, are the first and only suite of solutions designed to deliver operational and compliance excellence. Seamless integration between operational and compliance functions is no longer optional. Market participants must operate in a highly dynamic environment, subject to rapid change and have fewer resources available. For firms executing tens of thousands of transactions per day, it means intelligently identifying exceptions to normal processing as opposed to manually reviewing all transactions, to make the best use of scarce resources. This also means proactively surfacing operational issues that help firms more effectively manage risk, such as notification of negative counterparty activity. Autonomy GCM helps you increase effectiveness while managing compliance obligations and risk.

All Financial Services organizations benefit from the powerful infrastructure leveraged by the Autonomy Global Capital Markets Solution. Autonomy Intelligent Operating Layer (IDOL) performs conceptual and contextual analysis and probability matching on information to find the meaning within and the inter-relationships between and among disparate pieces of content. This unique approach allows global organizations to find and access the most pertinent content for business value or risk management, irrespective of languages, repository, operating systems, and file types. By supporting more than 1,000 different data formats, including structured, semi-structured, and unstructured data, located across 400 different content repositories, Autonomy can search all categories of information repositories in an organization. IDOL is fault-tolerant using load balancing and mirroring, highly scalable, secure, and has sub-second performance on billions of files.

“The original goal of the Scrittura project was to solve our most pressing documentation automation needs. Given our satisfaction and confidence with this product, we are pleased to exercise our option to license Scrittura for other trading areas.”

—David Frankel, Sr. Vice President, AIG

Capital Markets Operations

Autonomy is recognized as the market leader in information access, and automation of documentation, processes and counterparty messaging for middle and back office operations in the capital markets. Autonomy GCM enables financial institutions to adapt to the increasingly complex workflow needs of middle and back office processing of non-exchange-based trades. Built to automate and manage the full lifecycle of trade documentation and operations, Autonomy Global Capital Market Solutions enable operations professionals to easily manage increasing volumes of multiple transaction types, streamline compliance tracking, reduce costs and mitigate operational risk.

Autonomy Global Capital Markets solutions differentiators include:

- Single platform that can address the full spectrum of a financial institution’s critical information management needs.
- Only vendor to offer entire spectrum of Trade Management, Document Management, eDiscovery and information governance needs.
- IDOL brings key conceptual advances to information management within capital markets with its ability to understand the meaning of information.
- Massively scaleable, fault tolerant and designed for high performance across globally distributed data repositories.

Solution Brief

“...”

—David Frankel, Sr. Vice President, AIG
• User experience designed for ease of use and unique needs of Global Market broker dealers.
• Seamless integration across all user touch points including desktop, Microsoft Office, email, web, imaging, mobile and offline workers.
• Largest ecosystem of Financial Services product integrations in the market.
• Proven technology used by a majority of the G16 Banks.

Complete Post Trade Automation
Autonomy GCM draws on its market leadership and expertise in Document Management, automated document tracking, archival and enforcement of retention policies, and high-volume records management, to offer a powerful suite of solutions to the financial services customer to automate and streamline the entire problem set around compliance management, real-time audit and controls, regulatory reporting and records, document generation and trade lifecycle management.

Client On-boarding Automation
Many organizations, including financial institutions, struggle to properly manage their new business intake and client on-boarding, and account opening processes. All communication and documentation with the clients must be properly stored and accessible. Content should be easy to find without reliance on resource intensive and awkward manual tagging or metadata capture procedures. Isolated point-solutions with no integration result in poor customer satisfaction and retention. Insure consistent customer care by automating and tracking client-related contents throughout their lifecycle with:

• IDOL and TeleForm OCR indexes all content, in place, from multiple 3rd party and proprietary repositories, providing the ability to query content across repositories and quickly locate required content during compliance-related review processes.
• WorkSite for enterprise level DM with flexible metadata model can model all desired document characteristics for reporting and modeling of entity relationships which significantly reduces the time and labor associated with annual reviews of entity relationships.
• IDOL automatic categorization of the enterprise and departmental taxonomy and automatic extraction of meta-data identifies key terms and fields to remove manual processes and reduce incidence of misfiling.
• Scrittura automatically compares outgoing and incoming versions as well as auto-generates documents to reduce the use of high-valuable resources for manual updates and the risk of execution on altered documents.

Capital Markets Compliance
In challenging times, the only certain factor is the desire for greater control and visibility of information that resides in an array of internal and external systems that form the core of the global capital markets. Users in audit, finance, legal, compliance and regulatory bodies all require greater visibility to the same set of information, but often to address differing obligations. Autonomy’s unique ability to understand relevant information in context allows various constituencies to meet their objectives through one platform. Autonomy GCM provides seamless connectivity between trading systems, product processors, payment systems, pricing models, contract management systems, interbank matching services, messaging systems and other repositories.

Seamless integration across relevant content sources provides new levels of visibility to key decision makers. Most importantly, it allows compliance and legal officers ready access to critical information. Too often, information necessary to effectively manage risk or enforce compliance is presented late, or not at all. This prevents market participants from adhering to their compliance requirements, and impacts their ability to operate efficiently.

Autonomy GCM also delivers compliance solutions based on specific regulatory and legal requirements. Many leading market participants; global banks, investment management firms, broker dealers, regulators, hedge funds, and law firms trust Autonomy to help meet their compliance and legal needs.

Autonomy Offerings for Global Capital Markets
The Autonomy solution for the Global Capital Markets industry includes:

Autonomy Scrittura for Commodities – Post-trade Operations Management.
Autonomy Scrittura for Commodities brings full automation and lifecycle control through a single, specialized application for all post trade operations of all classes of commodity trades. Tight integration with trading systems as well as ICE (InterContinentalExchange®) eConfirm, SWIFT, and EFETNet, the industry’s leading matching and confirmation utility ensures seamless, automated processing of commodity derivatives.

Autonomy EnConnect – Message Connectivity with trading counterparties.
Autonomy EnConnect enables universal, platform agnostic, out-of-the-box connectivity between trading counterparties and specialized industry utilities including DTCC Deriv/SERV, DTCC Markit/SERV, ICE eConfirm and SWIFT, ensuring immediate support for new messaging specifications and standards.

Autonomy Document Generator and Autonomy Template Manager is an enterprise platform that interfaces with any of your existing systems to provide high performance document generation capabilities. Created as a powerful extension to Microsoft Word Autonomy Template Manager provides business users the tools they need to rapidly and easily produce and update document templates in an environment they are familiar with.

Autonomy Scrittura Workflow Manager – Trade Workflow.
Autonomy Scrittura Workflow Manager enables back-office personnel to customize and automate the entire workflow process for complete lifecycle management of trade documentation. Scrittura workflows can operate in parallel to ensure the most efficient processing of each trade across a firm.
Autonomy Scrittura Audit & Reporting Framework – Audit Tracking.
Autonomy Scrittura Audit & Reporting Framework provides out-of-the-box and customizable reports to meet operational and regulatory needs.

Autonomy WorkSite – Document Management, Email Management.
Autonomy WorkSite is a complete product suite to organize, find and secure email and documents within an electronic matter file, which can be shared both internally and externally. WorkSite offers a rich set of desktop, web, offline and mobile interfaces and advanced email management capabilities enable the effective organization of email.

WorkSite Records Manager provides the ability to manage retention policy, organize physical content as well as apply retention to content stored in WorkSite and physical records.

Autonomy Enterprise Archive Solution (EAS) – Email Archiving.
Autonomy EAS augments the functionality of WorkSite by addressing unorganized and un-filed emails in a users inbox. EAS imports and centralizes any “leftover” content for retrieval and governance purposes, while also significantly reducing the load on Exchange Servers. EAS uses Single Instance Storage for all stored content.

Autonomy Investigator & ECA (Early Case Assessment) – Case Analysis.
Autonomy Investigator & ECA enables legal teams to determine their likelihood of success in court by applying advanced analytics at the very outset of the litigation process. The system takes petabytes of ESI and intelligently filters and culls the data to quickly gain visibility into the information contained within massive data sets.

Autonomy Legal Hold – Preservation and Collection.
Autonomy Legal Hold is the only available end-to-end software solution for the office of the general counsel to automate identification, notification, preservation, and collection processes across all enterprise repositories including the archive, desktops and laptops for all data formats, as well as voice, email, IM, applications and databases.
Introspect and Discovery Mining – Process-Review-Produce Electronically Stored Information.
When it comes to the needs of working with client’s electronically stored information, Introspect and Discovery Mining provide complete solutions for process, review, and production of electronically stored information. These capabilities are offered as both hosted and inside the firewall solutions.

The LiquidOffice suite of business process management software enables firms to manage critical processes such as matter opening and closing, audit letters, and opinion letter approvals. The software facilitates work with both paper and electronic forms and is accessible through a web browser and mobile devices.

Autonomy Global Capital Markets Technological Strength
Meaning Based Computing
At the heart of Autonomy’s intelligent Global Capital Markets solution is the Intelligent Data Operating Layer (IDOL). IDOL forms a conceptual and contextual understanding of all electronic information – structured and unstructured and enables computers to process information like humans do by reading, watching and listening to it. We apply this understanding to help lawyers more efficiently and effectively manage email, documents, find the right precedent or review a eDiscovery collection. IDOL is the common platform for all Autonomy Information Management, governance and eDiscovery products.

User-Centered Design
Core to the successful adoption of any application that touches an end user is the user experience. This is particularly true today where the user is forced to manage and process significantly larger volumes of information. Delivering an optimal user experience requires a keen understanding of how users interact with content, delivering the capabilities that the user needs in a simple, intuitive and high performance manner and using advanced computing techniques like meaning based computing to automate mundane user tasks.

Scalability and Performance
In the Global Capital Markets industry, performance and scalability are important because of the massive volumes of data, speed of transactions, audit tracking requirements and the demands of a globally distributed workforce. Scalability is a key consideration for law firms as the performance of many legacy technologies degrades significantly as the system size increases. Autonomy iManage offers the most scalable and resilient solution available and powers some of the largest systems in the world.

Visibility and Audit History
Regulatory requirements have strict rules regarding entity relationships which require extensive review on a regular basis. This can be a time consuming and labor-intensive process due to mismanagement of documents and client-related content. Any documents believed to be missing must be requested from the client, which impacts brand strength as well as ability to provide evidence of document custody and audit history. Autonomy Global Capital Markets solution provides visibility into all client materials, even those inadvertently misfiled, and provides a complete audit history for managed content. This can save time, audit expense, and strengthen your customer relationships and brand value within the market.

About Autonomy
Autonomy Corporation plc (LSE: AU. or AU.L), a global leader in infrastructure software for the enterprise, spearheads the Meaning Based Computing movement. IDC recently recognized Autonomy as having the largest market share and fastest growth in the worldwide search and discovery market.

Autonomy’s technology allows computers to harness the full richness of human information, forming a conceptual and contextual understanding of any piece of electronic data, including unstructured information, such as text, email, web pages, voice, or video. Autonomy’s software powers the full spectrum of mission-critical enterprise applications including pan-enterprise search, customer interaction solutions, information governance, end-to-end eDiscovery, records management, archiving, business process management, web content management, web optimization, rich media management and video and audio analysis.

Autonomy’s customer base is comprised of more than 20,000 global companies, law firms and federal agencies including: AOL, BAE Systems, BBC, Bloomberg, Boeing, Citigroup, Coca Cola, Daimler AG, Deutsche Bank, DLA Piper, Ericsson, FedEx, Ford, GlaxoSmithKline, Lloyds TSB, NASA, Nestlé, the New York Stock Exchange, Reuters, Shell, Tesco, T-Mobile, the U.S. Department of Energy, the U.S. Department of Homeland Security and the U.S. Securities and Exchange Commission. More than 400 companies OEM Autonomy technology, including Symantec, Citrix, HP, Novell, Oracle, Sybase and TIBCO. The company has offices worldwide. Please visit www.autonomy.com to find out more.

Autonomy and the Autonomy logo are registered trademarks or trademarks of Autonomy Corporation plc. All other trademarks are the property of their respective owners.

Please visit www.autonomy.com to find out more.