Autonomy Global Capital Markets

Innovative Solutions for Capital Markets Operations and Compliance

The capital markets today face unprecedented challenges, with scrutiny from investors, shareholders, and regulators. This dynamic requires that market participants perform at increasingly levels of operating efficiency, while also managing to far more rigorous compliance obligations. For too long operational information was inaccessible to compliance functions, while compliance needs were not well integrated into operational systems. Autonomy Global Capital Markets (GCM) is 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 need to operate in highly dynamic environment, subject to rapid change and fewer resources. For firms executing tens of thousands of transactions per day, it means intelligently identifying exceptions to normal processing as opposed to manual reviews, 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, or to adhere to their ongoing compliance obligations.

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 suite of innovative solutions 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 Capital Market Solutions enable operations professionals to easily manage increasing volumes of multiple transaction types, streamlining compliance while reducing costs and mitigating operational risk.

Today, 70% of the top global dealers and investment managers rely on Autonomy GCM solutions to transact billions of dollars in derivatives every day.

- **Autonomy GCM** enables capital markets operations to cost-effectively automate and manage the full lifecycle of trade documentation and communication. It is a robust, scalable, and extensible technology platform built on a service-oriented architecture (SOA) to provide financial firms with the ultimate efficiency in their capital markets operations.

- **Autonomy GCM** delivers a fully integrated solution designed to simplify the entire trade confirmation process for OTC derivatives. The solution is based on proven technology as used by the majority of the ‘Fed-18 banks’ and is available now as a pre-packaged, easy to install, low-cost system for sell side and buy side firms.

- **Autonomy GCM Commodities** brings full automation and 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, the industry’s leading matching and confirmation utility ensures seamless, automated processing of commodity derivatives.

- **Autonomy GCM DealConnect** enables universal, platform agnostic, out-of-the-box connectivity between trading counterparties and specialized industry utilities including DTCC Deriv/SERV and ICE eConfirm, 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.

Complete Post Trade Automation with Autonomy Scrittura

Autonomy GCM draws on its market leadership and expertise in Collaborative 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.
Interwoven’s Scrittura suite of configurable and cost-effective solutions meets specific workflow, communication, and document automation needs for structured financial products.

The Scrittura Solution Suite is comprised of the following components that can be installed independently or operate seamlessly together:

- **Autonomy Document Generator and Autonomy Template Manager** is an enterprise platform that provides 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.
- **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.
- **Audit & Reporting Framework** that provides out-of-the-box and customizable reports to meet operational and regulatory needs.
- **Trade Lifecycle Manager** provides out of the box logic to handle all post-trade activities including amendment, full and partial termination, novation/assignment, execution, counterparty disputes, and verbal, broker and counterparty confirmation.
- **Document Management and Archiving Manager** provide full service document management functionality that leverages the power of the Autonomy IDOL Engine for full text searching, and the ability to archive records and documents to on- or off-site locations using Autonomy Digital Safe, a massively scalable hosted archiving services with built in retention policies.

**Universal Connectivity with EnConnect**

EnConnect is a unique real-time trade communication hub providing immediate connectivity with:

- Any type of front-office trade capture platform (e.g. Murex, Calypso etc.) or back-office trade processing system
- Any major electronic exchange, central trade matching platform, or utility service including DTCC Deriv/SERV Trade Information Warehouse, ICE (Inter-Continental Exchange®) eConfirm

EnConnect enables the integration of disparate enterprise systems, exposing information on a real-time basis through a transactional messaging middleware infrastructure. IT departments can easily extend the EnConnect server to their specific requirements using intuitive wizards. Updates are rapidly deployed to adapt to changes to data schema’s and requirements.

EnConnect pre-built configuration modules allow out of the box connectivity to DTCC Deriv/SERV, ICE eConfirm, SWIFT, EFETNet eliminating operational risk and maintenance costs of custom integrations.
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 and Legal management systems
- Interbank matching services (DTCC Deriv/SERV and ICE eConfirm)
- Messaging systems (Email, IM, Bloomberg)
- Unmanaged 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 Digital Safe and Enterprise Archiving Solution are the first and only solutions with the functionality, performance and scalability needed to address the challenging requirements of retaining, collecting, consolidating, making available and deposing information from multiple proprietary systems, in multiple languages and in hundreds of different content formats
- Autonomy’s Aungate Real-Time Policy Supervisor module is the industry’s most comprehensive solution to address the challenge of supervision by taking an automated and intelligent approach to monitoring all electronic communications within an organization. Using advanced conceptual search and classification tools, the Supervisor module goes well beyond keyword-based solutions to identify potentially damaging information based on its context.
- Autonomy Investigator & ECA forms an understanding of large quantities of diverse ESI including email, text messages, documents, voicemail, audio recordings and video. Leveraging petabyte scalability and intelligent clustering, information is analyzed to identify patterns between
seemingly unrelated information enabling attorneys to reconstruct what occurred, develop informed case strategies and sweep aside non-responsive data.

- Autonomy’s Aungate Legal Hold solution for legal hold reduces the risks and costs associated with the duty to preserve, extending the organization’s control of its information to the edge of the network and beyond. The solution applies intelligent legal hold policies against an enterprise’s full corpus of data, whether it lives on the network server or an employee’s remote laptop; data can be automatically preserved in place, in real-time, to be securely collected when needed for processing and review.

About Autonomy

Autonomy Corporation plc (LSE: AU. or AU.L), a global leader in infrastructure software for the enterprise, is spearheading the meaning based computing movement and was recently ranked by IDC as the clear market share leader in enterprise search with market share nearly double that of its nearest competitor. 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, be it text, email, voice or video. Autonomy’s software powers the full spectrum of mission-critical enterprise applications, including information access technology, pan-enterprise search, information governance, end-to-end eDiscovery and archiving, records management, business process management, web content management, customer interaction solutions, and video and audio analysis, and is recognized by industry analysts as the clear leader in enterprise search.

Autonomy’s customer base is comprised of more than 20,000 global companies and organizations, including: 3, ABN AMRO, AOL, BAE Systems, BBC, Bloomberg, Boeing, Citigroup, Coca Cola, Daimler AG, Deutsche Bank, Ericsson, Ford, GlaxoSmithKline, Lloyd TSB, NASA, Nestle, the New York Stock Exchange, Reuters, Shell, 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 BEA, Citrix, H-P, Novell, Oracle, Sybase and TIBCO, and the company has over 400 VARs and Systems Integrators. The company has offices worldwide. Please visit www.autonomy.com for more information on Autonomy.