



APPLICATION COMPLIANCE MANAGER



ACM helps your firm automate the management of application compliance reviews.



Data Security

ISO 27001

MDSL holds ISO 27001:2013 data security accreditation



Customer Retention Rate

98%

MDSL boasts the highest customer retention rate in the industry.



Spend Under Management

\$12B+

Enterprises trust MDSL to manage over \$12 Billion in global technology spend.



Over twenty years' experience

20+ years

Delivering FinTech solutions to large financial organizations.

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.

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

Questions

What is the name of the application?

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

What Platform/Framework does this application come under?

What is the coding language of the application?

Application Type/Category

Business Activity performed by Application

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

Application Version Number

 **MARKET DATA MANAGEMENT (MDM)**

 **INDEX LICENSE MANAGEMENT (ILM)**

 **TELECOM EXPENSE MANAGEMENT (TEM)**

 **TRANSACTION RECONCILIATION REPORTING (TRR)**

 **APPLICATION COMPLIANCE MANAGER (ACM)**

 **ACCESS COMPLIANCE ENGINE (ACE)**

✓ **INTEGRATION WITH MDM**
ACM auto-updates MDM inventory with review responses to keep your services up to date.

✓ **AUTOMATED DISTRIBUTION**
Schedule regular distributions to maintain inventory accuracy and ensure compliance.

✓ **ACCURATE INFORMATION**
Get the answer, the whole answer, and nothing but the answer. Our structure and workflow will get you relevant, complete responses.

✓ **COMPLIANCE**
Discourage intrusive, time-consuming audits by demonstrating control over your applications.

✓ **TASK MANAGEMENT**
Administrator bird's-eye view of compliance survey completion status.

✓ **REMINDERS**
Automated email reminders and 'To-do' list of uncompleted questionnaires for Application Owners.

✓ **BUSINESS INTELLIGENCE**
Provide rich analytics in a range of formats with Smart Dashboards to get your message across.

✓ **EXPORTABLE REPORTS**
Export reports to both Excel and PDF file formats.

“ Our partnership with MDSL has provided us with automation and control over the most complex, time-consuming processes in our market data estate.”

INTERNATIONAL BANK

mdsl

Reach out for more information:

USA +1 (212) 201 6199 | EMEA +44 (0)1892 545353

For a demonstration visit mdsl.com/request-demo