



# MIFID2 CLOUD RECORD-KEEPING

## CASE STUDY

GETTING BETTER COMPLIANCE AND ARCHIVING CAPABILITIES VIA THE CLOUD



## ITALIAN INVESTMENT BANK

As the leading independent broker and investment bank on the Italian market, this financial firm is an extensive consumer of financial applications that generate records that fall under the new MIFID2 / MIFIR financial regime.

### THE CHALLENGE

With MIFID2, the investment bank was faced with the daunting task of ensuring that they were capturing and archiving all relevant MIFID2 related content from both their brokerage and investment banking businesses.

With the understanding that archiving of data was necessary, the investment bank also understood that MIFID2 demanded more than just commodity archiving of data - they would also need:

- An auditing system for the capture of content from business systems
- Classification of content for better archive organization
- Connecting of content for unified search

The investment bank also did not want to change vendors and line of business applications to meet the needs of MIFID2, especially if it forced them to keep records in different silos thus creating friction when searching for records. The investment bank needed advanced functionality with simplified operations but neither were found in the separate cloud and on-premise products they surveyed thus posing significant business and operational challenges to becoming MIFID2 record-keeping compliant.

### ABOUT KSF AND AWS

KSF is a Swiss Software and Services company with 25+ years of expertise in Software Development, Enterprise Content Management and Archiving, Analytics, QA and Legal IT Systems Engineering.

Configuring your record-keeping on Arkivy in the AWS Cloud gets you to MIFID2 record-keeping compliance faster with innovative tools, reduced costs, and secure operations.

### NEXT STEPS

To learn more about how AWS and KSF can help your business, visit [www.ksfglobalservices.com](http://www.ksfglobalservices.com)

### THE SOLUTION

Arkivy was introduced to the investment bank as a cloud-based solution that solved their two main concerns – getting advanced MIFID2 record-keeping functionality with simplified operations.

Arkivy collects all of the investment bank’s regulated content into a centralized archive with robust monitoring, alert and audit features to ensure that they always know what is in their archive and importantly - when there is a problem with content capture that could lead to a content blackout in the archive.

Arkivy reduces the investment bank’s operational complexity by eliminating data silos. This enables simplified search, order reconstruction and surveillance - all in a single user interface.

### THE BENEFITS

#### Scope

Arkivy provides the investment bank an integrated Record-Keeping Operations System that archives all content types on immutable storage\*, reduces operational complexity, is vendor neutral and provides advanced search, auditing and oversight features. While comprehensive, the solution is self-contained keeping things operationally simple and easy to manage.

#### Regulatory

With Arkivy’s comprehensive scope, the investment bank’s Board of Directors and Executive Management can be confident that they know the status of all content from intake to archive and have the tools to quickly search, export and report on the content for themselves and regulators - key requirements of MIFID2 record-keeping compliance.

#### Cloud Benefits

Arkivy is affordable for the investment bank with a price per seat model, scales easily for their future growth and is backed by the security and reliability of the industry leading AWS Cloud. With Arkivy, the investment bank implemented their MIFID2 record-keeping operations in less than a business quarter without the hassles of procuring infrastructure and configuring multiple on-premise software systems.

\* WORM Storage (Write Once Ready Many)

COMPLY WITH CONFIDENCE - CONTACT US :



[MIFID2@arkivy.swiss](mailto:MIFID2@arkivy.swiss)



+41 44 214 62 88

#### KSF Global Services LLC

Bahnhofstrasse 52  
CH-8001 Zurich  
Switzerland

Tel: +41 44 214 62 88  
<http://www.ksfglobalservices.com>

