

# Daegis AXS-One Archive

## Meet new MiFID II requirements with secure archiving software

Starting January 2017, any financial firm trading in the EU will need to record and archive communications that are intended to lead to a transaction as part of MiFID II. This new mandate goes far beyond previous requirements, and banks and other financial institutions need to invest in new solutions to comply with the directive.

All communication leading up to a transaction will have to be recorded, and will also need to be retained for five years. Being able to capture electronic and voice communication while making it searchable and providing capabilities to correlate messages across channels, such as email, instant messaging and phone, drive demand for rapid implementation of advanced electronic archives to comply with MiFID II.

### EU Markets in Financial Instruments Directive (MiFID)

The Directive on markets in financial instruments (MiFID or Directive 2004/39/EC) established rules for making the trading in shares admitted to trading on a regulated market pre-trade and post-trade transparent and for reporting transactions in financial instruments admitted to trading on a regulated market to competent authorities.

MiFID II, repealing Directive 2004/39/EC and the Regulation on markets in financial instruments (MiFIR), was published in June 2014 and Member States have two years to transpose the new rules, which will be applicable starting January 2017. The new framework aims to make financial markets more efficient, resilient and transparent. It introduces a market structure that closes loopholes and ensures that trading, wherever appropriate, takes place on regulated platforms.

### AXS-One Archive

The Daegis AXS-One Archive is secure, highly scalable archiving software for managing the preservation, collection, review and disposal of electronic communication, structured and unstructured data. AXS-One simplifies and reduces the cost of information governance and eDiscovery while supporting the requirements for records retention and archiving as set forth in MiFID II.

Through a single interface in Daegis AXS-One, all electronic records, including emails, voice recordings, instant messages, desktop and Microsoft® SharePoint documents, file systems, social media entries, and system reports can be forensically archived, searched and produced. Electronic information is archived by date and custodian for easier search and export.

### MIFID II COMPLIANCE IN A NUTSHELL

---

- Record all communication leading to a transaction
- Five-year retention period
- Monitor records for compliance
- Management oversight of policies is required

### AXS-ONE ARCHIVE

---

- Simplifies information governance, compliance and eDiscovery
- Single and secure archive for all types of electronic data
- Facilitates corporate policies for retention and disposition of all corporate records
- Search and case management for all archived data
- Securely logs all activity to deliver fully compliant audit trail and full chain of custody process

This single solution allows organizations to easily manage the integrity, security and retention of all electronic records according to enterprises' internal policies and regulations. The Daegis AXS-One Archive is purpose-built for complete data management and massive scalability, and offers industry-unique non-relational database architecture to simplify information governance, reduce the cost of regulatory compliance and eDiscovery and mitigate risk by improving data management.

### Legal Case Management

The Daegis AXS-One Archive Case Management module effectively prepares you to respond to eDiscovery, internal audit and regulatory compliance demands by bringing together all aspects of archiving and eDiscovery. Existing retention policies for all records in an open case can be suspended with a legal hold. Custodians can be informed through legal hold notifications, preventing critical information from being deleted while the case is active. By unifying and streamlining

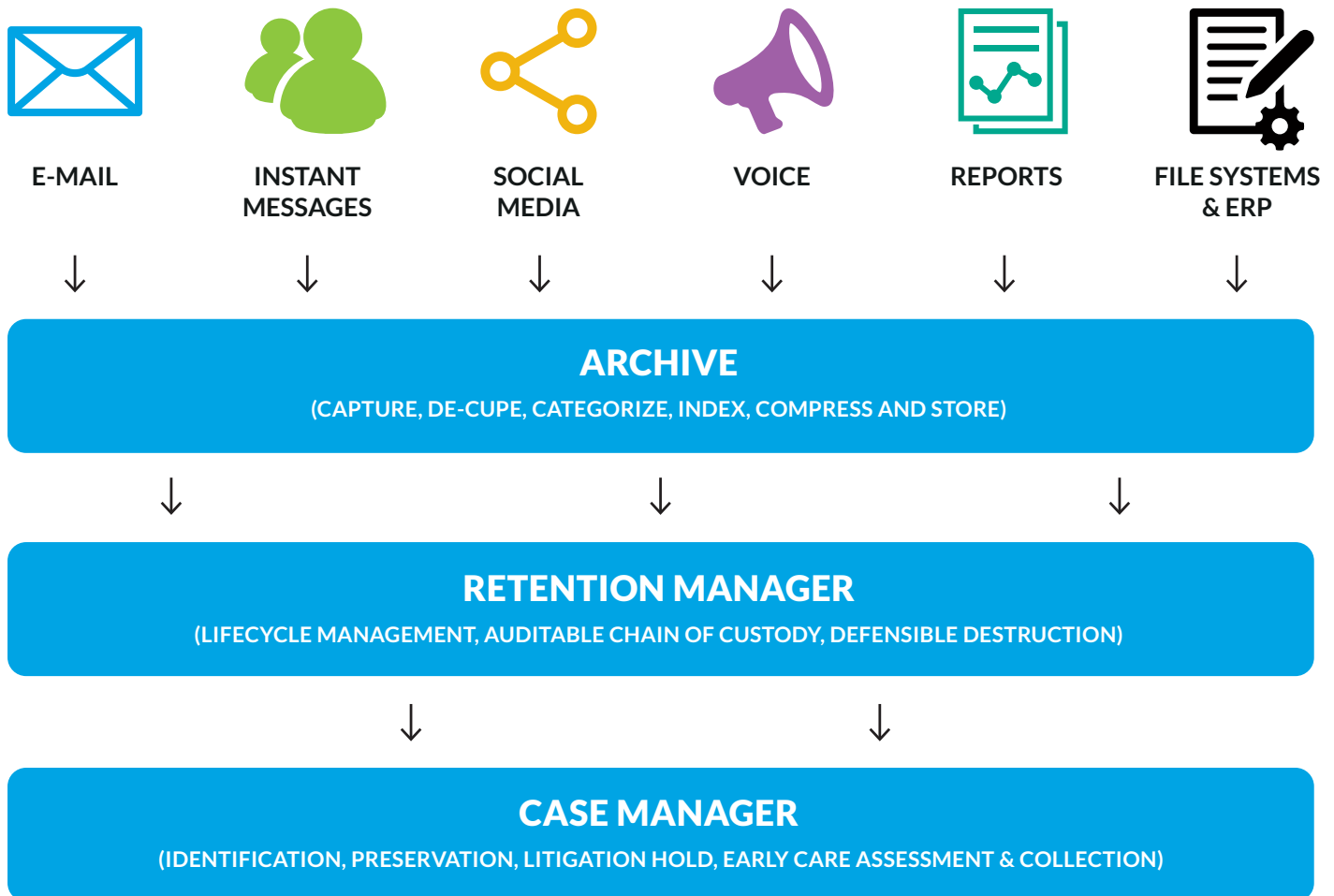
data management, your organization can respond to litigation requests in a timely, efficient and defensible manner.

### Supervision

Daegis AXS-One offers a Supervision module to help clients mitigate the risks associated with messaging by scanning the content of all archived email, instant messages and attachments for suspicious content. When suspicious content is found, the Supervision module automatically routes the message to the supervisor's queue for review and action.

### Supported Applications

Daegis AXS-One supports archiving for a long list of leading applications including Microsoft Exchange, Microsoft™ Office 365, IBM® Notes® and Domino®, Bloomberg, Thomson Reuters, Gmail™, Microsoft®Skype for Business (Lync®), SharePoint, SAP and many more.



AXS-One Archive

[www.opentext.com](http://www.opentext.com)

NORTH AMERICA +800 499 6544 • UNITED STATES +1 847 267 9330 • GERMANY +49 89 4629-0  
UNITED KINGDOM +44 (0) 1189 848 000 • AUSTRALIA +61 2 9026 3400