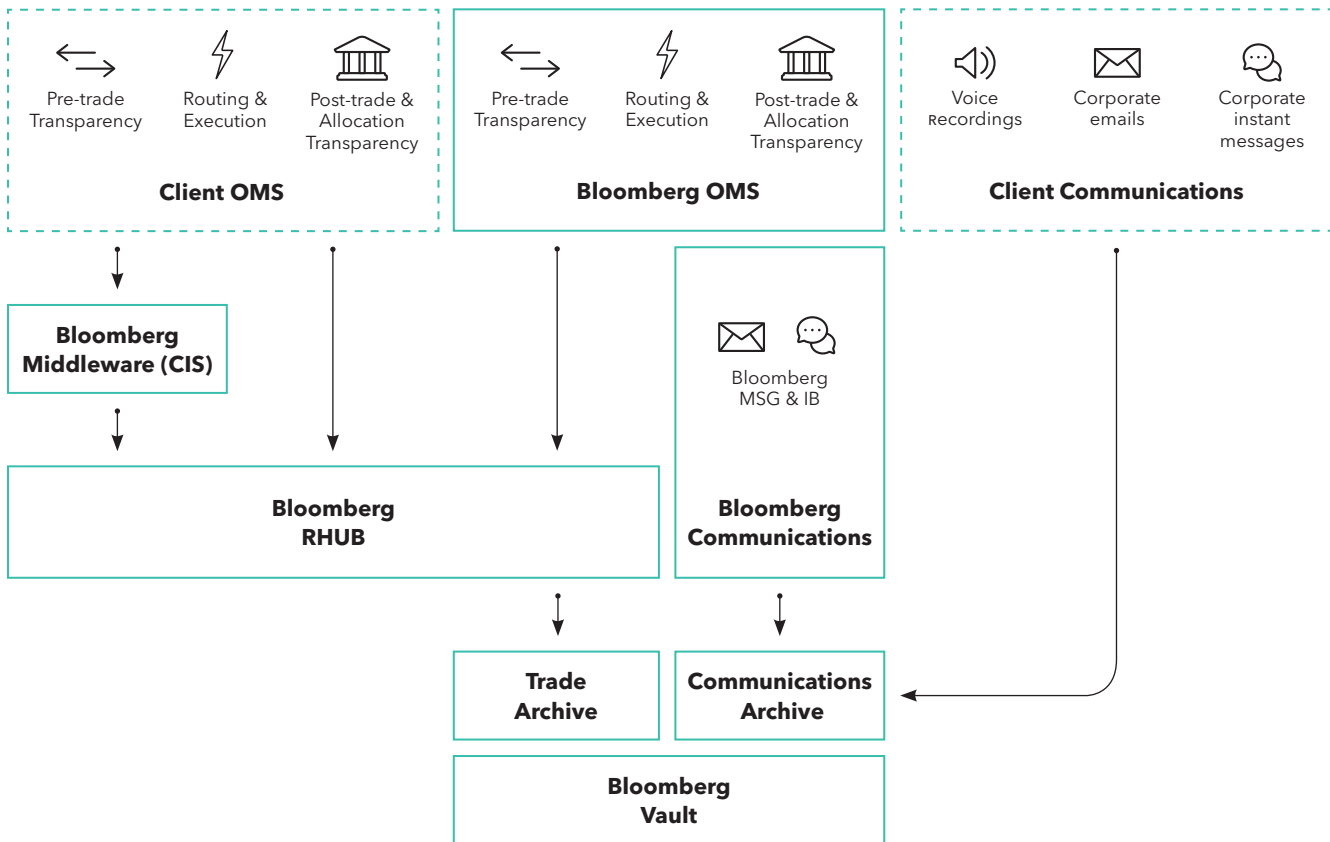


Bloomberg Vault Trade Archive

MiFID II implementation overview

How it works

The Bloomberg Vault Trade Archive is a flexible system that can be configured to ingest, store and query information ranging from pre-trade to execution to post-trade to communications, including instant messaging and voice recording. Whether you use Bloomberg as an OMS or not, feeds can be configured via a number of different methods into the Trade Archive.



Content availability & supported upload mechanisms

| Pre-trade Transparency, Routing & Execution and Post-trade & Allocation Transparency | |
|--|---|
| Source | Bloomberg AIM, TOMS and SSEOMS |
| Schema type(s) | Native |
| Upload mechanism | Automated feed through Bloomberg's Regulatory Reporting Hub, RHUB Bloomberg will configure automated data feeds out of its OMS via RHUB, Bloomberg's Regulatory Reporting Hub. All relevant pre-trade, execution and post-trade information will be sent to Bloomberg Vault. |
| Implementation timeline | <1 week |
| Availability date | October 1 (Beta), October 31 (Production) |

| | |
|--------------------------------|--|
| Source | Non-Bloomberg OMS |
| Schema type(s) | Bloomberg-defined schema, available in FIX 5.0 and XML formats |
| Upload mechanism | SFTP upload of XML feeds through Bloomberg's Regulatory Reporting Hub, RHUB or sending FIX messages across Bloomberg's supported FIX 5.0 protocol. |
| Implementation timeline | Once the client has mapped its OMS to Bloomberg's schema, one week is needed to validate and ingest data. If the client needs assistance to convert to one of Bloomberg's supported formats, Bloomberg's Connectivity and Integration Solutions (CIS) can provide support. Additional fees will apply. |
| Availability date | October 1 (Beta), October 31 (Production) |

| Bloomberg MSG & IB | |
|--------------------------------|---|
| Source | Bloomberg MSG and IB |
| Schema type(s) | Native |
| Upload mechanism | Automated feed Bloomberg will configure automated data feeds out of its communications systems into Bloomberg Vault. |
| Implementation timeline | <1 week |
| Availability date | Currently available |

| Corporate email | |
|--------------------------------|--|
| Source | Microsoft Exchange & Office 365 |
| Schema type(s) | Microsoft Exchange Journal Format |
| Upload mechanism | Exchange Journaling via SMTP over TLS Bloomberg will work with the client to set up journaling rule in its exchange server to send data through to Bloomberg Vault. |
| Implementation timeline | <1 week |
| Availability date | Currently available |

| Corporate instant messages | |
|-----------------------------------|--|
| Source | Skype for Business, Microsoft Teams, ICE Chat, Pivot, Reuters, Twitter, Slack Enterprise, Jabber |
| Schema type(s) | Bloomberg-installed capture software or supported Instant Message schema in XML format |
| Upload mechanism | SMTP, SFTP For Skype for Business, AOL Instant Messenger, Yahoo and Jabber, Bloomberg can assist in setting up an appliance to capture the Instant Messages. Alternatively, clients can use the supported Instant Message schema in XML format to send data from their IM platform. |
| Implementation timeline | 2 weeks |
| Availability date | Currently available |

| Voice recordings | |
|--------------------------------|--|
| Source | Voice recordings |
| Schema type(s) | Bloomberg-defined Voice schema in XML format |
| Upload mechanism | SFTP Clients can choose one of several options for uploading voice recordings to Bloomberg Vault. Data can be extracted from voice recorders and transformed into the Bloomberg Vault XML or a third-party extraction service can be leveraged to assist. Alternatively, Bloomberg's preferred voice recording partner, Red Box Recorders, will provide a direct integration into Bloomberg Vault's XML format. |
| Implementation timeline | 2 weeks |
| Availability date | Currently available |

Key questions

- What OMS(s) do you use?
- If you use non-Bloomberg OMS, will you be able to map to our schemas?
- Do you currently record voice calls? If so, what voice recording vendor and version do you use?
- Do you currently capture instant message information? If so, what tool are you using to capture instant messages?
- Do you have an existing counterparty database with information at the entity and contact levels?
- What is your monitored population in scope for MiFID II?
- When do you want to start ingesting trade information?

Solutions matrix

| Use case | eCommunications Archive | Voice Archive | Communications Surveillance | Trade Archive |
|--|-------------------------|---------------|-----------------------------|---------------|
| Record-keeping requirements for communications | X | X | | |
| Record-keeping requirements for orders, execute trades and post-trade events | | | | X |
| Periodically monitor communications | X | X | X | |
| Monitor communications for potential breaches of market abuse | X | X | X | |
| Investigate suspicious trading activity | X | X | X | X |
| Identify suspicious communications and correlate to trading activity | X | X | X | X |
| Reconstitute decision to deal to NCA | X | X | | X |
| Reconstitute decision to deal to requesting client | X | X | | X |

Take the next step.

For additional information, press the <HELP> key twice on the Bloomberg Terminal®.

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