Application Compliance Manager

Calero

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

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 powerful module in the Calero-MDSL product suite. Which comes fully integrated within the Market Data Manager (MDM) system to bring efficiency to the issuance, completion and management of market data compliance surveys. ACM comes out of the box with a standard set of customizable questionnaires, with bulk email invite functionality, drawing in nominated application owners asking for their response

The owners simply follow email links to the surveys that feature questions driven by your inventory data (for example applications, 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 to the designated Administrator(s) 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.

Data Security	Customer Retention Rate	Spend Under Management	Industry Experience
ISO 27001	**98%**	**$25 Billion**	**25+ Years**
Calero holds ISO 27001:2013 data security accreditation	Calero boasts the highest customer retention rate in the industry	Enterprises trust Calero to manage over $25 Billion in global technology spend.	Delivering FinTech solutions to large financial organizations.

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 compliance around data usage rights

- 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 agreed usage rights and restrictions?

- Track changes which have been made to the data and to whom the data is made to be available, acting on updates from Vendor Data Notifications

- Investigate applications which are no longer in production

- **Market Data Management (MDM)**
- **Index License Management (ILM)**
- **Software As A Service Management (SaaS/UCaaS)**
- **Automated Invoice Processing (AIP)**
- **Contract Workflows**
- **Advanced Certification**

- Provide compliance review data for exchange audits (often contractually required)

- Report monthly snapshots of entitlements for all applications (by individual login)

- Ensure your organisation is in the best position to respond to changes in exchange rules

- Visualize the connections between the downstream and upstream applications using a service, ensuring your applications are no more than 4 levels down for compliance regulation

Integration with MDM
ACM auto-updates MDM inventory with review responses to keep your services up to date.

Task Management
Administrator bird's-eye view of compliance survey completion status.

Automated Distribution
Schedule regular distributions to maintain inventory accuracy and ensure compliance.

Reminders
Automated email reminders and of uncompleted questionnaires for Application Owners.

Accurate Information
Get the answer, the whole answer, and nothing but the answer.

Business Intelligence
Provide rich analytics in a range of formats with Smart Dashboards to get your message across.

Compliance
Discourage intrusive, time-consuming audits by demonstrating control over your applications.

Exportable Reports
Export reports to both Excel and PDF file formats.

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