Global Relay Archive For Bloomberg® Messages

COMPLIANCE ARCHIVING, SUPERVISION, AND EDISCOVERY

Cloud-Based Archiving of Bloomberg Messages

Global Relay Archive for Bloomberg® messages provides superior tools to achieve compliance and maintain control with Bloomberg messaging. Global Relay automatically captures, indexes and archives your firm’s Bloomberg communications — for compliance, supervision, eDiscovery, audit and litigation readiness and message management.

Meet regulatory requirements for recordkeeping and supervision of Bloomberg messaging. Regulatory requirements in the financial industry require all electronic communications — including Bloomberg messaging — to be captured, archived and monitored. Global Relay Archive for Bloomberg® messages is purpose-designed for compliance, enabling firms to meet requirements such as SEC Rule 17a-4, FINRA Rule 4511, FINRA Rule 3110 and many others. As well, Global Relay Archive features powerful built-in supervision and reporting tools — making it straightforward for compliance officers and managers to carry out message monitoring, compliance review and HR policy enforcement.

Global Relay has expertise in Bloomberg message archiving. Global Relay is one of the major third-party downloaders of Bloomberg messages. Many of the world’s largest financial firms count on Global Relay Archive to preserve and manage their mission-critical Bloomberg messaging.

At a glance

Cloud-based archiving of all Bloomberg messages:
- Indexed metadata for granular searching
- Specifically designed for firms in finance and other highly regulated industries
- Global Relay is one of the major third-party downloaders of Bloomberg messages worldwide

About Bloomberg Messaging

There are a number of ways to communicate within the Bloomberg system:
- Bloomberg Mail (BMail) — email sent between Bloomberg users
- Instant Bloomberg (IB) — instant messaging sent between Bloomberg users
- Internet Mail — Bloomberg email sent to outside email addresses and vice versa

Global Relay Archive for Bloomberg® messages fully supports each of these messaging types.

Disclaimer: Global Relay Archive only converts files that are made available by Bloomberg L.P. to Bloomberg L.P.’s customers, and technically able to be downloaded. There is no affiliation between Global Relay and Bloomberg, and Bloomberg processes are subject to change at any time without notice to Global Relay. Download of Bloomberg messaging is under the express direction of the customer. The Bloomberg® name and logo are the sole property of Bloomberg Finance L.P. The use of the Bloomberg name and logo is to identify its message type and no implication of endorsement by or affiliation with Bloomberg is intended.
Superior Data Quality & Accuracy

Ensure the integrity of your archived Bloomberg® message data – Global Relay Archive for Bloomberg® messages provides end-to-end message reconciliation. As new Bloomberg messages are downloaded daily via HTTPS, each message is processed using write-verification and reconciliation to automatically verify quality and accuracy. Full reconciliation reports are available to company administrators via email. In this way, the authenticity and integrity of your firm’s archived messages is assured.

Preserve Bloomberg metadata – As Bloomberg messages are imported into Global Relay Archive, the system captures and preserves all possible metadata from each message in addition to the text, attachments and header information. Retaining this information is absolutely vital for compliance purposes. Having accurate information about the nature and content of messages is also essential for audit preparedness, litigation readiness and data leak prevention.

Viewing Messages within Global Relay Archive

| Subject: | “IB: 2 Users, 8 Messages, 13 Minutes*” |
| From: | “CHRIS LEE” <chr@lee.net>, “JAMES PHALSON” <james@lee.net> |
| Date: | 4 months ago Thu, 26 Apr 2015 10:26:45 -0400 |

<table>
<thead>
<tr>
<th>Company</th>
<th>Participants</th>
<th>Bloomberg ID</th>
<th>Joined</th>
<th>Left</th>
<th>Duration</th>
<th>Messages</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEE INVESTMENTS</td>
<td>CHRISS LEE</td>
<td><a href="mailto:chr@lee.net">chr@lee.net</a></td>
<td>2:26 pm</td>
<td>12:00 am</td>
<td>7:46:11 days 14 hours 26 mins</td>
<td>4</td>
</tr>
<tr>
<td>LEE INVESTMENTS</td>
<td>JAMES PHALSON</td>
<td><a href="mailto:jamep@lee.net">jamep@lee.net</a></td>
<td>2:26 pm</td>
<td>12:00 am</td>
<td>7:46:11 days 14 hours 26 mins</td>
<td>4</td>
</tr>
</tbody>
</table>

(2:26 pm) **CHRIS LEE** (LEE INVESTMENTS) enters the conversation

(2:26 pm) **CHRIS LEE** (LEE INVESTMENTS) has invited themselves

Want to talk about it?

(2:26 pm) **JAMES PHALSON** (LEE INVESTMENTS) enters the conversation

(2:27 pm) **JAMES PHALSON** (LEE INVESTMENTS):
Hi Chris -- how was your weekend?

(2:29 pm) **CHRIS LEE** (LEE INVESTMENTS):
Not bad at all. You checked on ol yet this morning?

(2:31 pm) **JAMES PHALSON** (LEE INVESTMENTS):
I’m not sure what’s going on. Exposure is $112

Rich, Intuitive Message Display

Instant Bloomberg messages are shown as threaded conversations within Global Relay Archive, along with a convenient Message Summary Table showing all relevant information about each participant. The “IB” icon denotes an Instant Bloomberg conversation.

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Advanced Search and Discovery Capabilities

Within Global Relay Archive, the metadata of Bloomberg® messaging is fully searchable — providing compliance officers with exceptional visibility and flexibility when performing message review and employee supervision.

In addition to searching for Bloomberg messaging using standard criteria such as date, sender, recipients, subject and keywords, a compliance officer can also:

- Limit a search to either Bloomberg Mail, Instant Bloomberg, or both
- Search for content specifically contained in the Greeting, Disclaimer or Message Body
- Search for messages sent “On Behalf Of” another user
- Filter searches for messages sent from a mobile device or a terminal
- Include or exclude News Alerts in search results
- See which users posted and viewed a particular Instant Bloomberg communication
- Differentiate between carbon-copied (CC) and auto-copied messages; perform searches based on these message attributes

How It Works

Bloomberg will, upon customer request, upload all available Bloomberg message data to a Bloomberg HTTPS site on a nightly basis. Upon the direction of the customer, Global Relay Archive for Bloomberg® messages automatically logs into the Bloomberg HTTPS site and downloads a copy of all new and available Bloomberg files.

(Note: Global Relay Archive for Bloomberg® messages does not delete files from the Bloomberg HTTPS site; it only downloads a copy.)

1. The Bloomberg files are in a proprietary format. Global Relay Archive parses, converts and reconstructs the Bloomberg files into a readable format before routing them to import queues for archive indexing and processing — whereby they are time-date stamped, serialized and written to tamperproof storage.

2. Once imported, Bloomberg messages can be searched, viewed, monitored and retrieved within Global Relay Archive. (Note: Any Bloomberg files which Global Relay Archive is unable to properly import are failed, with Global Relay IT Support being electronically notified and the appropriate action undertaken to resolve the issue.)

External Delivery – For customers using in-house archiving systems, Global Relay offers a Bloomberg message conversion service. With this service, Global Relay downloads the Bloomberg message data and converts it to a file type compatible with the customer’s in-house archiving system (such as EML). The converted data is then made available to the customer via:

   a) SFTP transfer
   b) SMTP delivery via VPN/TLS/SSL

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Global Relay Archive Features

Compliance & eDiscovery
- Meets compliance, audit and litigation rules (SEC, FINRA, SOX, IIROC, FCA, privacy laws, etc.)
- Archived messages are hosted on tamperproof storage with write-verification to ensure message authenticity
- Powerful online search, monitoring and reporting tools to enable compliance review, surveillance, monitoring, HR management and internal policy enforcement
- Comprehensive legal case management, audit and eDiscovery capabilities
- Full audit trails on each message
- Advanced dual encryption to ensure privacy, confidentiality and non-disclosure

Message Management
- Rapid search capability to find and retrieve any message in seconds
- Search across all message types in your firm’s archive — search results can show any/all archived message types
- Full suite of message search apps available: iPhone, iPad, BlackBerry, Android, Microsoft Outlook
- Hosted archive provides secure, centralized offsite storage in SOC audited data centers
- Third-party validation by KPMG on Global Relay business, operational and security controls

About Global Relay

Global Relay is the leading provider of cloud-based electronic message archiving, supervision, and eDiscovery solutions for the global financial sector and other highly regulated industries. Global Relay delivers services to 20,000 customers in 90 countries, including 22 of the top 25 banks. Global Relay Archive supports, email, IM, Bloomberg®, Thomson Reuters, social media, mobile messaging, and more - with mobile, Outlook and web access.

For more information about how Global Relay Archive can provide your firm with secure, compliant archiving solutions
- visit globalrelay.com
- call 1.866.484.6630
- email info@globalrelay.net

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