

Brokerage | Banking | Financial Advisors | Private Equity | Hedge Funds

Effective email archiving reduces IT, legal and regulatory costs while maintaining compliance with regulations



## The Challenge

Financial firms have all of the same challenges as every business with the added complexity of dealing with an extensive list of regulations. Depending on the specific industry and size they include SEC, FINRA, Sarbanes-Oxley, Dodd-Frank, Patriot Act, Banking Regulations, Gramm-Leach-Bliley and more. However, when it comes to message archiving, the requirements have some commonality. At the base level, email is considered a corporate record and must be retained, and produced when requested by a regulator or in the legal discovery process. Each specific industry has some defined retention period, which in most cases is between 3-7 years. Other requirements may include archiving instant messages, Bloomberg IM, text, social media and active supervision of broker communications.

Financial firms are faced with all of these industry specific challenges:

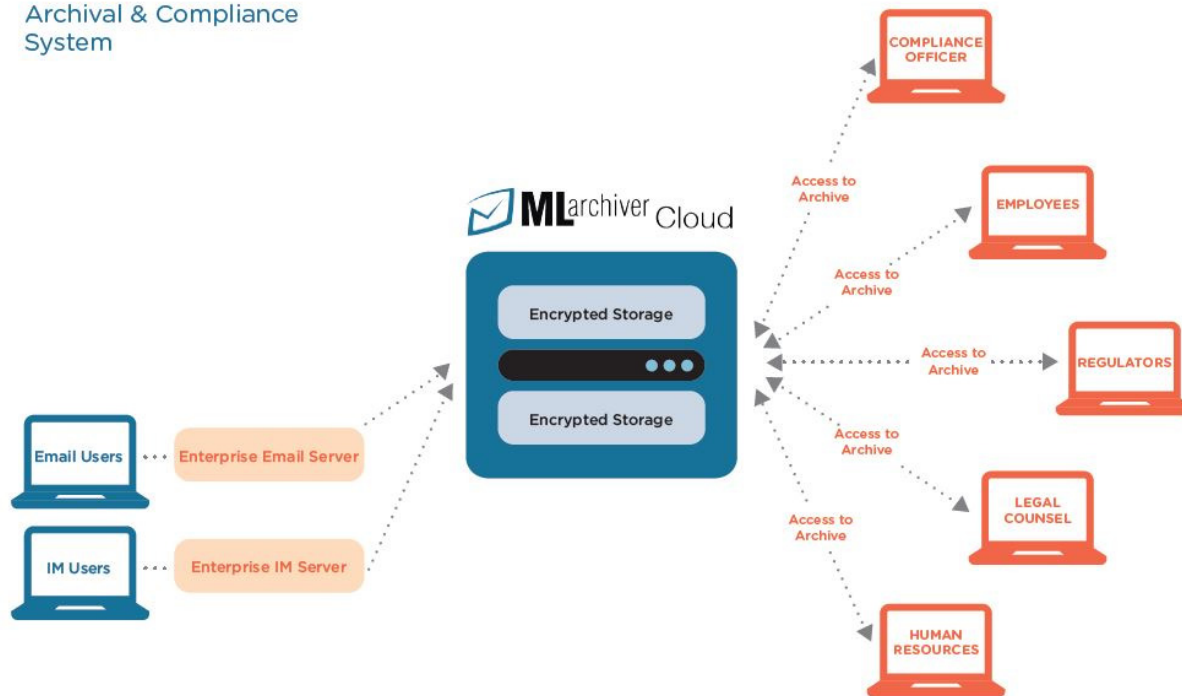
- Records management of electronic communications—email, instant messages and more
  - This includes the retention and orderly destruction of information and legal holds in compliance with specific regulations on their industry
- Producing messages as evidence for a legal or regulatory discovery inquiry
- Supervision
  - Sampling 10% of all registered traders is a very common industry practice
- Compliance Officers
  - Manage entire archive or by supervision groups.
- Data leak protection
  - Financial firms have a lot of intellectual property to protect
- Protecting confidentiality of client and employee information
- IT cost control over email servers and storage
- Maintaining a work environment free of issues such as harassment
  - This in most cases happens over email

## The Facts

- An estimated 84 billion emails are sent worldwide each day
- 70% of intellectual property resides in emails and instant messages
- Over a billion in fines have been levied against businesses for not storing critical information
- The average corporate retention policy is between 3 and 7 years
- Email is introduced as evidence in 90% of court cases

Brokerage | Banking | Financial Advisors | Private Equity | Hedge Funds

## Archival & Compliance System



## The Solution

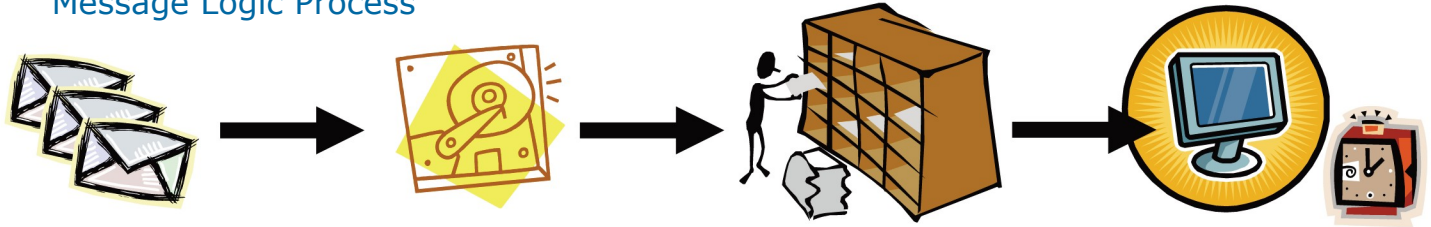
Message Logic® "Intelligent Message Archiving"



Message Logic is unique with the following capabilities to address the needs of the financial services industry:

- Records management of your electronic communications
  - Orderly manage the retention and destruction of messages and prepare to respond to internal and external inquiries
  - Legal hold capabilities also prevent messages from being deleted during a legal or regulatory proceeding
- Fast, accurate message discovery
- Pro-active monitoring for corporate policy violations
- Mailbox management feature allows older messages to be archived with employees access to their own archived messages
- Provide alerts to employees and management on policy violations
  - 50+ different categories
  - Ex: an employee can be alerted if they inadvertently send personal information such as a social security number by email
- Message tagging tags messages for supervision or legal reviews.

## Message Logic Process



### Capture

Capture all email, IM and attachments in real-time

- Inbound, outbound, internal, and external
- Exchange, Notes/Domino, Kerio, Zimbra, Pop and more
- Full-text index all messages and attachments
- Protect your intellectual property

### Analyze

Exclusive "know what you are archiving" analytics and monitoring

- Full policy enforcement management
- Categorizes messages into 50+ compliance and measurement categories
- Real-time alerts and reports on potential policy violations to senders and/or management
- Reduce risk and enforces policies

### Store

Securely archive and protect every "record"

- Preserve your records with record retention rules
- Apply tags and identifiers to messages
- Regulatory supervision
- Store with virtually unlimited, expandable storage
- Single instance storage
- Storage back-up utility
- Apply "Litigation Holds" on messages to preserve them during litigation

### Search-Retrieve

Fast and accurate search, retrieve and functions

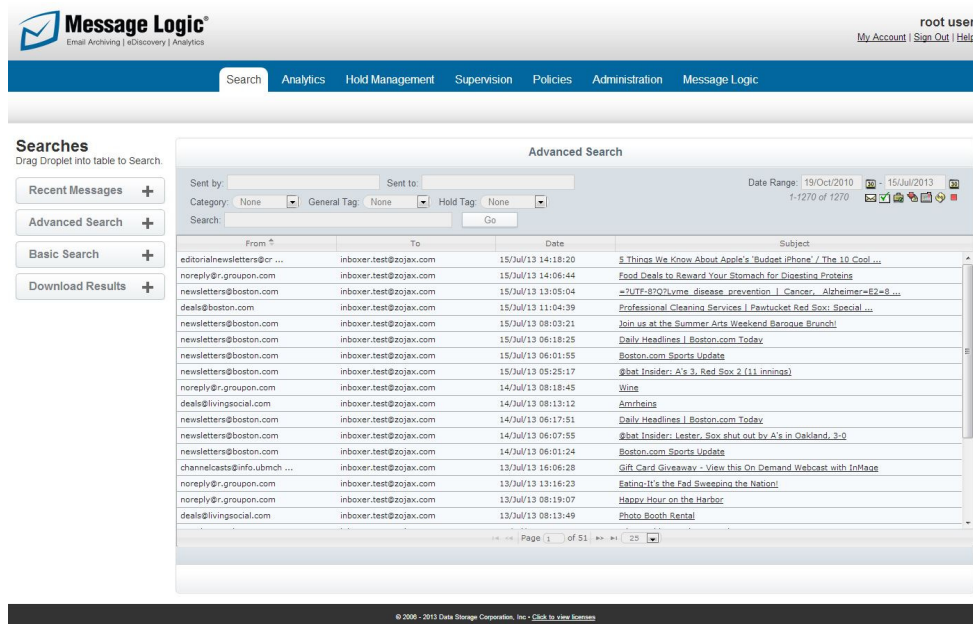
- Basic search
  - Sender, receiver, data range, and text strings
- Category search
  - Unique to Message Logic—search many different standard and custom categories with analytics reports
- In-depth legal discovery
  - Boolean expressions, fuzzy, proximity, text, etc.
- Single message and bulk exports compatible with Case Management Systems
- Employee access to their archived messages via Outlook or web interface

## The Benefits

- Total solution for the message archiving challenge
- Built on reliable Dell server and or VMware Ready software
- Unlimited scalability by adding attached storage or expanding your VMware infrastructure
- Turns emails into "corporate records"
- Keeps you in compliance with regulations and laws
- Reduces the time and effort for Discovery requests
- Cost effective solution with a very short ROI
- Message Logic Preconfig – —your systems arrive ready
- Message Logic Support – software support for Message Logic technology. Hardware appliances come with Dell ProSupport
- Message Logic Monitoring – Part of the support package is Message Logic's monitoring and update service



Brokerage | Banking | Financial Advisors | Private Equity | Hedge Funds



## Powerful Solutions from Message Logic



High performance rack-mount server that arrive pre-configured with MLArchiver software. Turn key solution, ready to meet your compliance, IT and legal requirements.



The only VMwareReady solution for email archiving. Works in any ESX, ESXi or VBlock environment and leverages your virtualized server environment.



Message Logic offers a variety of hosted cloud solutions using the Amazon Web Services platform. with Amazon, IBM Pure Systems and

Download for free 14 day trial

## The Answer: simplified Archiving

We make it simple to find what you're looking for, stay in compliance, enforce corporate policies and manage for the future. It doesn't need to be difficult.

Come learn how.

# Data Storage Corporation

Excellence in Data Protection and Recovery



Message Logic, a business unit of Data Storage Corporation  
 Contact: [info@messagelogic.net](mailto:info@messagelogic.net) or (212)-564-4922  
[www.messagelogic.net](http://www.messagelogic.net), [www.datastoragecorp.com](http://www.datastoragecorp.com)