

The Message **Archiver** & Compliance **Reviewer**

# Enterprise Archiving Solutions

for email and instant message record management

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**It's a matter of Reputation, Integrity & Control**

Email & IM Archiving; Supervision & Policy Enforcement; Disaster Recovery;  
Business Continuity; Litigation Discovery; Sarbanes-Oxley; Privacy

## Executive Summary

**WELCOME AND THANK YOU** for your interest in the Enterprise messaging compliance services of Global Relay Communications Inc. We are confident that you will find that our Enterprise Compliance Solutions exceed your expectations.

**COMPLIANCE** is more than just the preservation of records to ensure that your firm can survive regulatory, audit and evidentiary scrutiny. It's a matter of **Reputation, Integrity** and **Control**. The stakes are high and they are tied to the prosperity of your firm. Did you know that:

- management is responsible for the implementation and maintenance of internal controls for the purpose of financial reporting under SOX Section 404?
- there are strict penalties for the internal alteration, destruction or mutilation of records or documents in order to impede an investigation under SOX Section 802(a)?
- the New FRCP amendments obligate businesses to have a strategic records management policy in place to securely capture, preserve, manage and produce electronic records?

The compliance burden should no longer be thought of as solely a back office or IT matter. It should involve proactive decision-making on the part of senior management to choose a high quality compliance solution to efficiently retain, protect, manage and ensure authenticity of records and to implement safeguards and internal supervisory controls against inadequate data management practices. Selecting a message archiving solution should be thought of as an investment in your firm's future, both in terms of risk reduction and overall firm image.

**GLOBAL RELAY'S TECHNOLOGY SOLUTIONS** reflect "best practices" standards that are quickly becoming the benchmark for message management. As the developer, owner and operator of our technology, we have provided message archiving solutions since 1999 without a single incident of data loss. Our Enterprise-class technology, the Message Archiver, the Compliance Reviewer and the IM Interpreter, are specifically engineered to provide a total regulatory and legal compliance solution for firms subject to the regulatory compliance requirements of SOX and similar State legislation. Our services provide reliable, cost-effective and scalable message management and compliance solutions that:

- are seamlessly implemented within hours
- eliminate risk with a 30 day trial which includes setup, activation, training and support
- do not require special equipment, programming, software, hardware or other capital outlays
- are continuously and seamlessly updated to meet current technological, legal & regulatory needs

However, our Enterprise Messaging Solutions are more than best-of-breed technology. We are a dedicated team of professionals with the highest synergy of business, technical and legal expertise. With 24/7 IT support and our full-time, in-house compliance lawyers, we help our customers on a daily basis troubleshoot and resolve key IT and business issues, as well as play a mission critical role in your equation to achieving corporate excellence. We will provide your firm with a superior balance of technology, service, support, training and affordability to efficiently meet regulatory, audit, corporate governance, discovery requests and other business needs.

**YOUR COMPLIANCE SOLUTION** will be tailored, without extra cost, to fit the needs of your firm whether you have an independent business with outsourced email, a single server environment, or a multinational enterprise with disparate email and IM systems (i.e. multiple servers/multiple platforms).

Subscribe to our 30 day trial today at **1.866.484.6630** (toll free) or online at: [www.globalrelay.com](http://www.globalrelay.com), and let us demonstrate how our best-of-class solutions will make the difference in winning you as a customer.

Yours truly,



Warren Roy  
**CEO, Global Relay Communications Inc.**

# Enterprise Compliance Solutions Index

Electronic records compliance is all about **RECORDKEEPING** and **SUPERVISION**. That's why Global Relay specifically engineered the Message Archiver and the Compliance Reviewer. With this best-of-class technology, we proudly provide you with our complete Enterprise Compliance Solutions.

## 1. RECORDKEEPING



- **Why is our Message Archiver your indispensable business tool?** See our summary of how our Message Archiver can play a mission critical role in your business and solve your business challenges.....4
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## 2. SUPERVISION & eDISCOVERY



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**Try our Website Demo or 30-Day Trial.** The [Message Archiver](#) and the [Compliance Reviewer](#) demos, as well as the online sign-up for our [30-Day Trial](#) are at: [www.globalrelay.com](http://www.globalrelay.com) or call **1.866.484.6630** (toll free). No strings attached. For the trial, simply enable your email server and you'll be archiving within hours!

## Why is the Message Archiver your indispensable business tool?

**EMAIL & IM** have both revolutionized and imprisoned the business world. Email is now the most prevalent form of business communication, accounting for 65% of all correspondence. Volumes and average message size grow by 42% and 22% per year, respectively. Email & IM are simple to create, handy to use, and easy to send. However, by relying solely on today's backup procedures (or worse, no procedures), data and financial loss are inevitable.

### Conventional tape backups are not a substitute for message archiving:

1. it is expensive and time-consuming to recover data from a tape backup;
2. email that was accidentally or intentionally deleted will be unrecoverable within a week;
3. in the event of a hard drive crash, you will lose all messages created or received after your last backup; and
4. future upgrades of your tape hardware may make restoring data from old tapes unfeasible.

### Simply put, even by performing daily tape backups on a weekly tape rotation, your email is at risk!

With reliance on email and IM as your primary business communication tools, can you afford to lose your electronic records? Even the most sophisticated companies have system crashes resulting in massive data loss. At the same time, the costs, effort and technology demanded to store and manage this wealth of information are often staggering.



**SOLUTION?...SIMPLY PLUG-IN GLOBAL RELAY'S MESSAGE ARCHIVER AND STOP THE PAIN.** It is an affordable, high performance solution that will provide your firm with a superior balance of technology, service and support to efficiently meet all your electronic message management needs.

- **It's your IT department's best friend.** Your firm will never lose messages again. It's a fool-proof backup and automated disaster recovery tool, alleviating the heavy burden on your IT personnel.
- **It's a smart investment.** As an outsourced solution, just plug-in the Message Archiver. You will eliminate expenses related to growing internal message storage. No software, hardware or programming is required.
- **It puts control back in your hands.** Don't depend on disparate backup and storage systems, or the discretionary storage practices of employees to retain messages in their personal folders or create PST files. The Message Archiver provides centralized storage for your firm's email, attachments, IM, BlackBerry, iPhone, etc.
- **It lets your office managers shine.** The Message Archiver keeps your firm organized, boosts efficiency and collaboration by automating recordkeeping. Using "best practices" procedures and safeguards, it helps enforce internal supervisory controls against inadequate data management practices.
- **It recovers messages instantly.** The Message Archiver's advanced search and retrieval system provides rapid recovery of all email, attachments, IM, indexes and audit trails, even if the original has been deleted.
- **It provides ultimate employee mobility.** All Users may rapidly view, retrieve, organize, reply to, forward, print or download any of their current or historical messages anytime/anywhere through any secure web browser.
- **It records "who said what when."** By preserving a permanent copy of every incoming, internal and outgoing email, attachment and IM, the Message Archiver provides an indisputable chronological time-date stamped record to help safeguard you in the event of customer, supplier or employee issues, errors or allegations.
- **It's a document versioning dream.** By nature, the Message Archiver provides you with a record of what versions, of which documents, were distributed to whom, and when.
- **It secures your information.** Customer message information has secure end-to-end multi-level encryption to ensure that privacy, confidentiality and non-disclosure obligations are upheld.
- **It provides you with an eDiscovery tool.** Email and IM can be legally admissible as evidence in a lawsuit. The Message Archiver produces evidentiary-quality electronic records with full audit trails on message history.
- **It improves message content and workforce productivity.** With real time firm-wide monitoring capabilities, it enables detection of inappropriate message content that violates your firm's policies or legislation. A side benefit is the measurable improvement in employee productivity and decrease of email and IM for personal use!
- **It builds confidence and mitigates risks.** Mismanaging critical customer or supplier electronic information puts your professional reputation in jeopardy and undermines stakeholder confidence. The Message Archiver is your proactive risk management solution.

## Today's Electronic Messaging Challenges

Global Relay's Message Archiver provides the perfect solution to many of today's challenges in using email and IM as the primary business communication tools including:

1. Compliance
2. Litigation & Electronic Discovery
3. Business Continuity & Disaster Recovery
4. Message Management & Storage
5. Data Migration

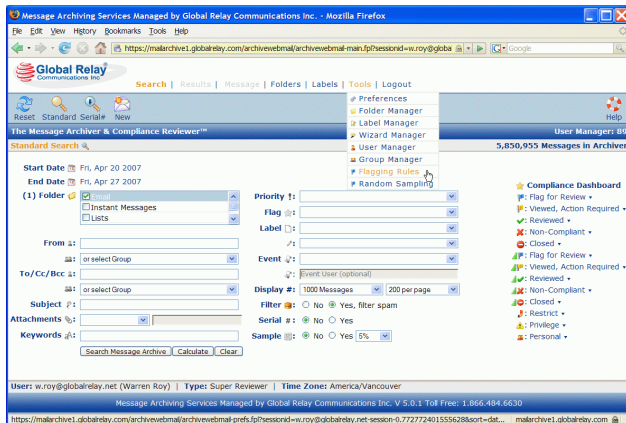
CHALLENGE	GLOBAL RELAY SOLUTION
<h3>Compliance</h3>	
<ul style="list-style-type: none"> <li>• Legislation (FINRA, SEC, RIA, SOX, IDA &amp; Privacy)</li> <li>• Internal (governance, policies, ethics &amp; HR issues)</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance archiving with monitoring</li> <li>• Industry specific compliance solutions</li> <li>• Access to in-house legal expertise</li> <li>• Rule interpretation, policy &amp; audit assistance</li> </ul>
<h3>Litigation &amp; Electronic Discovery</h3>	
<ul style="list-style-type: none"> <li>• Managing business &amp; legal risks</li> <li>• Insurance costs, claims &amp; liability</li> <li>• Proving "who said what when"</li> <li>• Finding the "needle in the haystack"</li> </ul>	<ul style="list-style-type: none"> <li>• Proactive protection for your business</li> <li>• Affordable discovery &amp; case management</li> <li>• Evidentiary quality messages for court</li> <li>• Rapid electronic search &amp; retrieval</li> <li>• Archiving is your insurance policy</li> </ul>
<h3>Business Continuity &amp; Disaster Recovery</h3>	
<ul style="list-style-type: none"> <li>• Continuous availability of critical data</li> <li>• Retrieving filed, lost &amp; deleted messages</li> </ul>	<ul style="list-style-type: none"> <li>• Instant access to existing &amp; deleted messages</li> <li>• Offsite storage in mirrored MCI/Verizon Data Centers</li> <li>• One click instant recovery to Outlook</li> <li>• Continuity mail, a secondary mail system</li> </ul>
<h3>Message Management &amp; Storage</h3>	
<ul style="list-style-type: none"> <li>• Growing volumes vs. mailbox size</li> <li>• Deletion or loss of critical email</li> <li>• Unmanageable PST files on desktops &amp; laptops</li> <li>• High cost of maintaining live access to email</li> </ul>	<ul style="list-style-type: none"> <li>• Unlimited mailbox storage</li> <li>• One click recovery of deleted mail to Outlook</li> <li>• Import PST files</li> <li>• Online access to user, group or company-wide mail</li> <li>• Long-term, tamperproof storage of all messages</li> </ul>
<h3>Data Migration</h3>	
<ul style="list-style-type: none"> <li>• Transitioning from legacy archiving systems; inadequate archiving vendors; in-house to hosted</li> <li>• PST, MBox, MDir, NSF (Notes) &amp; GroupWise files</li> </ul>	<ul style="list-style-type: none"> <li>• Import all messages directly to Message Archiver</li> <li>• Unify all electronic records in a central archive (Email, IM, Bloomberg, Reuters, BlackBerry)</li> <li>• Low cost long-term storage with real-time access</li> </ul>

## The Message Archiver



**Take control...Never lose data or email again.** Global Relay's Message Archiver was developed to provide Enterprise with a highly scalable message archival system specifically engineered to meet the stringent legal and regulatory compliance requirements for email & IM recordkeeping under Sarbanes-Oxley, the Federal Rules of Civil Procedure (FRCP) and various information and privacy acts.

The Message Archiver captures a permanent copy of every email, attachment, IM, Blackberry message in real time. All messages are securely archived in Global Relay's mirrored East/West Coast Data Centers providing unlimited online storage for the long-term preservation, management and retrieval of messages. Powered by true search engine technology, any messages can be found in seconds regardless of volumes or age. With personal message management tools, Users may view, restore, reply to, forward and download all their current and historical messages, and even create new mail. The Message Archiver allows for efficient responses to subpoenas, audits and evidentiary requests, diminishing the likelihood of lawsuits, HR battles, mismanagement in corporate governance and other liability associated with inadequate, lost or deleted records.



To find any message in 2 seconds, click the “Search Message Archive” icon...

Using Google-like search engine technology, the simple user interface finds messages based on criteria contained within the message.

Search by any combination of:

- Date Range
- From (User or Group)
- To / Cc / Bcc/ Distribution List
- Subject
- Keywords
- Attachment File Name (over 500)
- Serial Number
- Event
- Flag State

### Features of the Message Archiver:

- consolidates email, IM, Blackberry, Bloomberg and Reuters Messaging in a centralized online archive
- rapid User access via any secure web browser at any time with personalized management tools
- Users may view, organize, reply to, forward, print, download or restore any messages instantly
- private individual login provided for each user for secure access to their messages using SSL/TLS
- easy-to-use search interface for all users, with multi-lingual support (Eng, Fr, Sp, Ger, Jap, Port, Ch)
- seamlessly plugs into all email platforms capturing incoming, internal and outgoing email, IM and attachment
- supports all mail platforms, Hosted Exchange or Global Relay's Hosted Email (POP/IMAP/WebMail access)
- imports historical email (PST, NSF, MDIR, Mbox, etc.)
- National Security Agency (NSA) level encryption for highest protection of records (AES/ RSA)
- filters can be set to display or ignore SPAM
- categorization capabilities to tag, label and prioritize messages with export to DVD
- User-defined Folders and Shared Folders for organizational, eDiscovery or compliance purposes
- messages can be written to DVD and WORM, if requested for a reasonable fee

### Meets regulatory & legal requirements:

- ensures integrity and authenticity of messages with auditable & evidentiary-quality copies
- messages are serialized, time-date stamped and authenticated through write-verification
- simultaneous real-time primary online SAN storage and secondary near online storage (NOS)
- tamperproof NOS storage on dedicated WORM (Write Once, Read Many) drives
- secure, redundant offsite storage in East/West Coast Data Centers
- full text indexing for searches and full audit trails and tracking reports on message history
- complete lifecycle management with defined retention and disposal periods with flexible Litigation Holds
- for purposes of a subpoena or audit, messages are readily available online, or on other requested media (typically, delivery of a DVD containing an index and serialized messages in a readable format)

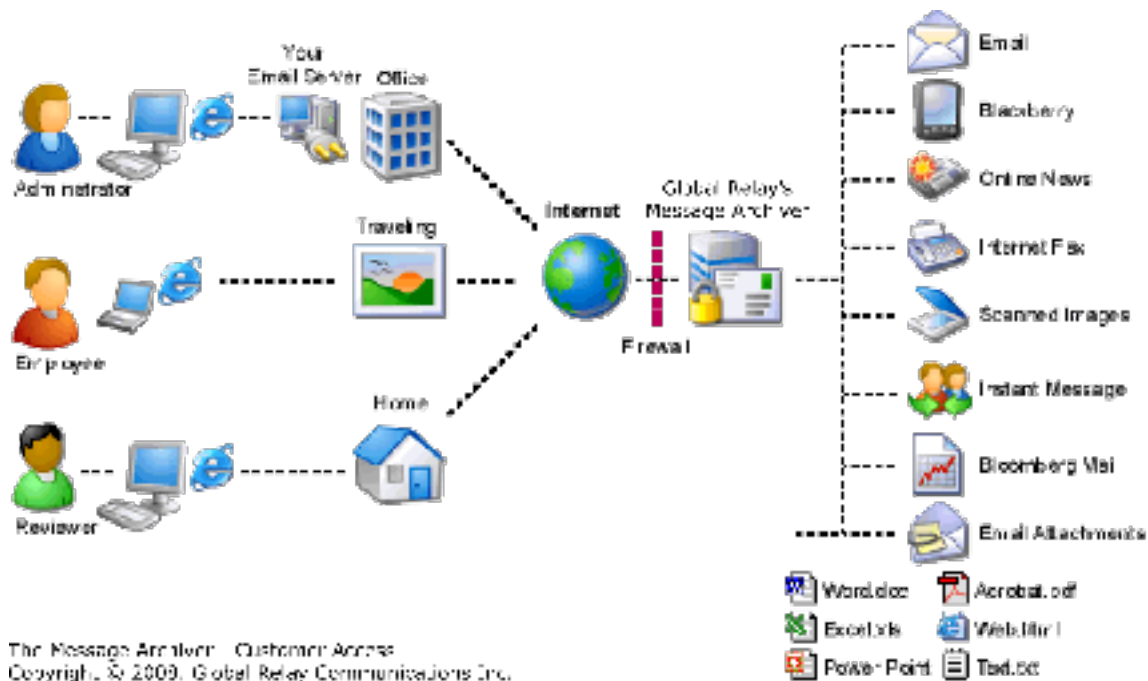
## The Message Archiver: Electronic Message Capture & Access

Simple, secure and powerful, the Message Archiver works in the background archiving your email, IM & attachments.



**EVERY ELECTRONIC RECORD** is automatically captured by the Message Archiver in real time. This includes incoming, internal and outgoing messages, whether from your firm's servers, hosted mail provider or Global Relay's servers. The process confidentially organizes and securely preserves your intellectual business assets, diminishing risks and problems that often result from poorly managed, dormant, lost or deleted records. By nature, the Message Archiver tracks "who said what, when," and provides you with a record of what versions, of which documents, were distributed to whom, and when.

Imagine the power behind having a permanent archived copy of all electronic business assets, such as:



**ACCESS IS MADE EASY** through the Message Archiver's intuitive user interface. Using any secure web browser connected to the Internet, rapid access is provided to:

- employees, via an exclusive individual login, in order to obtain their email and IM
- managers in order to review their assigned group's messages
- business administrators, or other Authorized Users, to monitor firm-wide messages

**From any location** — whether office, home or traveling — all Users are able to access a permanent record of their current and historical messages, even if the original has been deleted.

**User Capabilities** include a simple, search and retrieval process allowing all Users to Find, View, Print, Reply, Reply All, Forward or Download messages, and even create New mail straight from the Archive.

**Additional Privileges** may be assigned to Authorized Users allowing them to access, search and view the email and IM of other Users, User Groups, or even firm-wide messages. Authorized Users may include the Administrator, the owner, managers, an auditor or a regulator.

## The Message Archiver: Message Processing



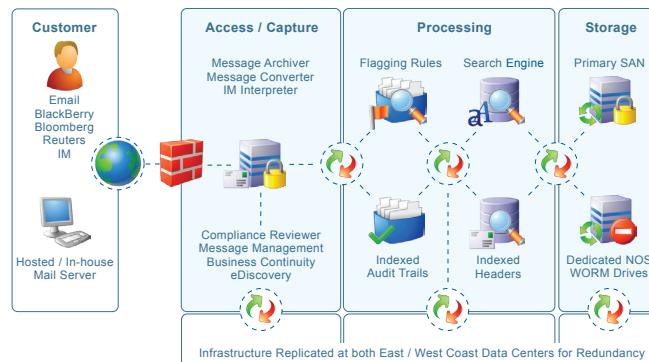
**EMAIL** is provided through in-house email servers operated by your firm, or as an outsourced email solution. In order to securely forward mail from the email server, journaling is enabled (i.e. Exchange), or a simple plug-in is configured. For outsourced email, we partner with the majority of the Hosted Exchange providers or offer Global Relay's **HOSTED EMAIL**, with synchronized POP, IMAP and Webmail accounts. All incoming, internal and outgoing email, whether from your servers or hosted, is captured by the Message Archiver in real time, with secure end-to-end encryption.



**INSTANT MESSAGING (IM)** is captured by the Message Archiver via our **IM INTERPRETER**. Chat sessions are securely captured from the public networks such as AOL, MSN, ICQ, Yahoo and from Reuters and LCS, or we can provide our secure, internal Jabber messaging system. BlackBerry messaging can be captured and consolidated in the Message Archiver using our Message Converter for BlackBerry.



**MESSAGE ARCHIVER** captures, serializes, time-dates and indexes all messages with authentic copies written to East/West Coast Data Centers, with a true copy of each message concurrently stored on its primary SAN, secondary NOS WORM.



### RULES-BASED PARSING ANALYSIS



**1. SCANNING** is performed on header, text body and attachments stripping all relevant text and metadata (data on data) from the message.

- Word.doc
- Acrobat.pdf
- Excel.xls
- Web.html
- Power Point.ppt
- Text.txt



**2. COMPLIANCE REVIEWER**, integrated with the Message Archiver, uses custom filter rules configured by authorized Users to flag keywords and phrases contained within email, attachments and IM. An audit trail and reviewer action log is appended.



**3. SPAM** is automatically eliminated from common database searches by the Message Archiver, through identifying common SPAM recognition tags placed in email headers by SPAM scanners.



**4. INDEXING** – scanned text is indexed to search engines and metadata is written to databases. These are synchronized (mirrored in real time) for redundancy and compliance purposes.



**5. LIFECYCLE MANAGEMENT OF DATA**, with customized retention/deletion policies including litigation holds and selective deletion.

### FILE STORAGE PROCESSING



**1. WRITE VERIFICATION PROCESS** ensures your messages are protected as they are first encrypted and then written to the Primary Online storage systems and the Secondary NOS WORM Storage. The processed messages are automatically compared with the original before the original is deleted (original is stored in a buffer for 7 days), to verify the quality and accuracy of the storage media recording process.



**2. FILE ENCRYPTION** meets National Security Agency (NSA) standards by using AES encryption algorithms and secondary RSA encryption algorithms before being stored. The encryption (and decryption) process is transparent to Users.



**3. PRIMARY ONLINE SAN STORAGE** systems preserve in real time, simultaneously with the Secondary NOS WORM Storage systems, a permanent copy of all data archived in the Message Archiver using RAID discs with write-verification.



**4. SECONDARY STORAGE (WORM)** systems preserve a second copy of data in the Storage Robot, our near-online storage (NOS) using dedicated WORM drives and write-verification.



**5. EAST/WEST COAST DATA CENTERS** in world-class facilities with secure redundancy for business continuity, disaster recovery and long-term storage.



## Message Converter for BlackBerry

Global Relay's Message Converter for BlackBerry offers the downloading of BlackBerry messages (SMS/Text, PIN to PIN, and Phone logs) for compliance. Our Message Converter for BlackBerry provides full conversion and import capabilities for retention and management of BlackBerry messages to:

- Global Relay's hosted Message Archiver & Compliance Reviewer, or
- Customer's in-house archiving system.

### About BlackBerry messages

BlackBerry devices enable users to communicate electronically via PIN , SMS (commonly known as text messaging) and by phone. BlackBerry Enterprise Servers (BES) enable logging of these messages for compliance purposes, placing a copy of each message into a folder on the BES as follows:

1. SMS/Text: short message service (SMS) commonly referred to as text messages are logged recording the sender, recipient and content of the message.
2. PIN to PIN: personal identification number (PIN) text messages are logged recording the sender, recipient and content of the message.
3. Phone calls: are logged recording the initiator and recipient of each phone call recording their phone numbers only, not the conversation.

### Compliance Archiving

Compliance regulations such as SEC Rule 17a-4 and FINRA Rules 3010 & 3110 require electronic business communications, including those transmitted via BlackBerry, to be archived for defined long-term retention periods and monitored for post-review compliance purposes. Additionally, the amended US Federal Rules of Civil Procedure (FRCP), Sarbanes-Oxley (SOX), MiFID (UK), as well as internal corporate messaging policies often require all business communications to be retained yet accessible for litigation and internal audits.

### Archiving BlackBerry Messages

1. Traditionally, BlackBerry email has been the only BlackBerry messaging form that firms have been able to capture via integration with a BlackBerry Enterprise Server. However, BlackBerry PIN & SMS messages together with Phone logs are considered "business records" and legally should also be preserved. Compliance Officers responsible for monitoring of electronic communications can now capture all message types from BlackBerry using Global Relay's Message Converter for BlackBerry for compliance and legal purposes.
2. Global Relay's Message Converter for BlackBerry enables BlackBerry PIN , SMS & Phone logs to be converted into email messages that are imported and consolidated in the Message Archiver, with all other email and instant messages of an organization, for easy online search, retrieval and monitoring.
3. Global Relay's Message Archiver & Compliance Reviewer seamlessly integrate with the Message Converter to provide BlackBerry customers with longterm storage of all BlackBerry messages, to help customers meet compliance requirements and address "litigation readiness."

### How the Message Converter for BlackBerry Works

All BlackBerry PIN , SMS and Phone logs for each User are processed and chronologically displayed in a single email detailing all PIN messages, SMS messages & phone numbers dialed or received by the specific Users. Each User will have a dedicated email log of their daily BlackBerry communications. Global Relays Message Converter then delivers each BlackBerry summary by email for:

- (a) Ingestion by Global Relays hosted Message Archiver & Compliance Reviewer
- (b) FTP download to Customers in-house archiving system, or
- (c) SMTP delivery to Customers in-house archiving system via VPN/TLS/SSL

Once imported, BlackBerry messages can be searched, viewed, monitored and retrieved from the Message Archiver in the same manner as email and instant messages.

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## The Compliance Reviewer

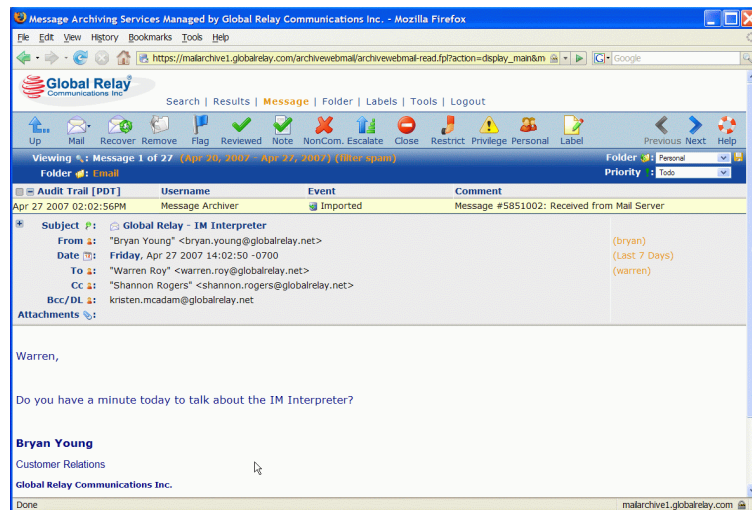


**Take control...Protect your firm with an early warning system.** Global Relay's Compliance Reviewer provides organizations with a turnkey, unified supervisory system to enforce and supervise corporate email, security and privacy policies.

To enforce and monitor your firm's email & IM policies for proper usage, corporate governance and compliance, we provide a flexible, easy-to-use, multi-tier supervisory system with advanced rules engines for one-click compliance, one-second review, and categorization by flags, priorities, folder and labels. Effectively, be the first to know about internal issues before they become public problems, not the last. Messages of any user are analyzed on import and flagged for review if violations are detected as follows:

1. real time filtering for keyword or phrase violations (we provide a start-up list of suggested words);
2. specific query using flexible search criteria;
3. advanced rule-based keyword & phrase proximity analysis; or
4. random sampling rules (by User, User Group, or firm as a whole, with adjustable percentages).


As demonstrated below, via an intuitive, color-coded icon based user interface, an authorized Reviewer can instantaneously retrieve for review any flagged message and then quickly evaluate and log the results. If applicable, a first level Reviewer may escalate any non-compliant message to a Super Reviewer for further evaluation.




Once a message has been:

 Flagged for review

**REVIEWER may mark message as:**

 Viewed, Action required

 Reviewed

 Non-compliant

 Closed

 Privilege

 Restrict


 Personal

**If Escalated , message is marked:**

 Flagged for review

**Super Reviewer may mark message as:**

 Reviewed

 Non-compliant etc.

 Closed

### Business Benefits of the Compliance Reviewer:

- real-time detection of inappropriate or misleading messages, which may violate regulation or firm policies
- ability to enforce firm policies regarding appropriate email & IM usage, corporate governance and privacy
- improvement of employee productivity through decreased personal email & IM use due to monitoring

### Features of the Compliance Reviewer:

- customized, automated flagging of messages for review based on flexible filtering criteria
- review of full messages and attachments, or rapid review of headers only, with virtually no latency
- keyword flagging rules can be customized for each of incoming, internal and outgoing messages
- keyword search results are **highlighted** in different **colors** within the **message** for quick **discovery**
- customized filters can exclude specific words and phrases (i.e. disclaimers or attorney-client privileged mail)
- Reviewer can log message review history with action icons and predefined or issue specific comments
- Reviewer-defined folders to categorize data for compliance or litigation purposes, with fast export to CD

### Address Regulatory & eDiscovery Requirements:

- rapid access to review functions via any secure web browser
- advanced filtering with categorization by flags, priorities, folder and labels
- customized security rules govern multi-tier access rights and action privileges of authorized reviewers
- rules-based, automatic message flagging with review alerts to enforce timely review
- detailed time stamped logs with audit trail history of reviews and related actions taken
- flexibility to internally make adjustments to surveillance and monitoring procedures
- enables response to audit requests within minutes with online audit, search and eDiscovery tools

## The Compliance Reviewer: Supervisory System

The Compliance Reviewer is configured to enforce and monitor your firm's supervisory policies and procedures.



**ADMINISTRATOR** sets up your firm's Users and assigns them to User Groups; appoints Reviewer(s) to monitor specific User Groups, and if required, appoints Super Reviewer(s) to assist Reviewers. Administrator also provides access to authorized persons (such as regulators, auditors and owners).



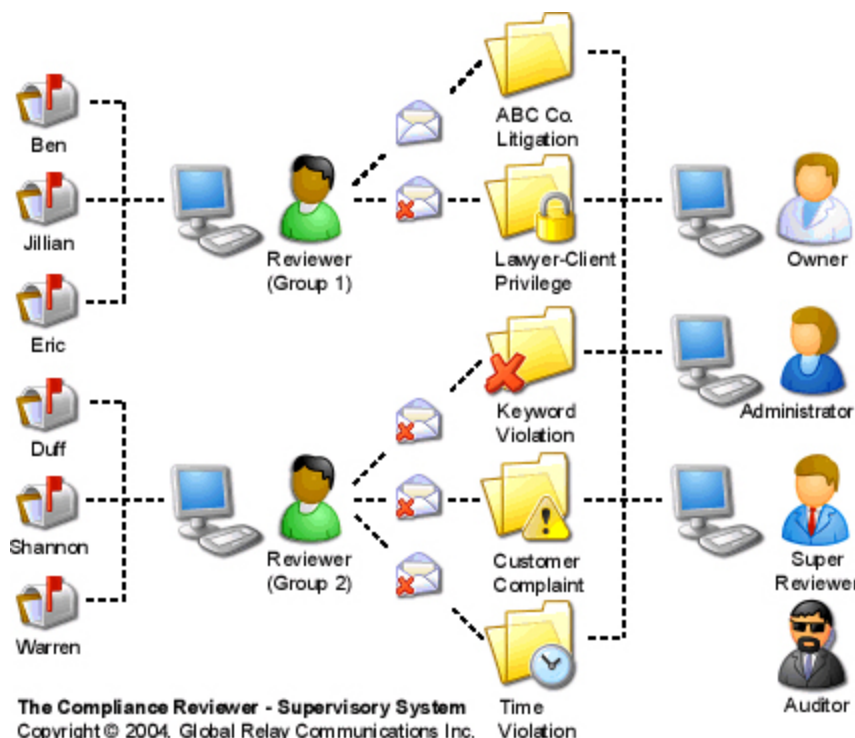
**USER** has access to a permanent online record of their messages from any location. Specific Users (i.e. a manager) may be assigned access to additional User accounts by the Administrator. A User can reply, forward, print or download their messages, but cannot access records relating to any supervisory review.



**REVIEWER** has access to messages of its assigned User Group(s) in order to carry out the first level review. Messages may be "Flagged for Review" through real-time keyword scanning, specific search criteria or random sampling. The Reviewer then may review the flagged message. Through simple color-coded icons, the Reviewer marks the message as "Reviewed" or "Non-compliant". If "Viewed, Action Required", such messages will be marked accordingly, and become subject to a time violation if not dealt with. An explanatory comment must accompany all non-compliant and/or "Escalated" messages, in order to assist the assigned Super Reviewer, or otherwise detail the review process. Messages may be organized into Reviewer-defined folders. Once a non-compliant message has been fully dealt with, it may be marked as "Non-compliant - Closed". Messages can also be marked "Privileged", "Restricted" or "Personal".



**SUPER REVIEWER** has all access and review capabilities of the Reviewer, as well as firm-wide access to all User messages (unless specifically restricted) to carry out the second level review. Similar to the Reviewer, once a message has been "Escalated" and "Flagged for Review", the message may be marked as "Reviewed", "Non-compliant" or "Viewed, Action Required". Once it has been "Escalated" to the Super Reviewer, the Reviewer can no longer take any actions. The Super Reviewer has access to any Reviewer-defined folders. Once a non-compliant messages has been fully dealt with, it may be marked as "Non-compliant - Closed".



### CUSTOMIZED STRUCTURE

To organize the review of flagged messages of employees, the Administrator may establish multiple User Groups by domain, department, office, division or management team, and may assign multi-tier Reviewers. The Owners, managers, auditors or regulators can also be assigned review privileges.

The firm can directly manage the review structure and adjust User Groups, access rights or levels of review to fit the firm's evolving needs.

Reviewer-defined priorities, labels and shared folders, help organize reviews.

## Benefits of Global Relay's Software-as-a-Service (SaaS) Solution For Enterprise Email & IM Management

Establishing a message management system and satisfying Enterprise compliance requirements imposed by SOX or the Federal Rules of Civil Procedure (FRCP) relating to email & IM recordkeeping are complex, and potentially expensive if done in-house. As the developer, owner and operator of our technology services, Global Relay is able to provide your firm with cost-effective, complete, high quality solutions to achieve compliance and proactive eDiscovery, as well as to ensure that your email, instant messages and BlackBerry are properly backed up and managed.

### Global Relay's Outsourced Message Archiver & Compliance Reviewer Solution

- superior technology with time test reliability since 1999
- it's a seamless, turnkey solution that plugs into your existing system and is activated within hours
- no special equipment, programming, hardware, software or other capital outlays
- affordable, typically costing as little as 25% to 50% of a comparable in-house solution
- predictable budgeting
- unmatched speed enabling you to find any message in under 2 seconds
- user-friendly with virtually no learning curve
- off-site, mirrored storage in East/West Coast Data Centers
- accessible from any secure web browser
- technology is continuously and seamlessly updated to meet current technological, legal & regulatory needs
- includes non-rewriteable, non-erasable dedicated WORM media with off-site backup
- secure, National Security Agency (NSA) level AES and RSA dual encryption for highest protection
- unlimited mailbox storage and scalability, designed to support millions of Users
- provable authenticity of records and audit trails which are evidentiary quality for court & audits
- 24/7 IT Support & immediate audit support
- dedicated professional compliance team with the highest synergy of business, technical and legal expertise
- mission critical reliability, not a single incident of data loss in eight years of providing message archiving
- individual User accounts can be associated with multiple email addresses, aliases and distribution lists
- 30 day total satisfaction guarantee
- we will tailor an all-encompassing compliance solution for firms of any size, structure, nature
- enables your firm to focus on its core business

### In-House Software & Hardware Solutions

- significant initial and ongoing expense in software, hardware and IT personnel
- time consuming to research, plan and coordinate with multiple software and hardware vendors
- finding the in-house expertise to implement, manage and update a compliant solution may be challenging
- logistically difficult and intrusive to establish an internal data center
- your valuable electronic assets may not be safe in the event of a disaster
- difficult to address business continuity without separate storage locations for duplicate copies of email
- costly legal services related to ongoing state and federal compliance issues
- mailbox licensing may be expensive and operationally difficult
- risk of messages not being captured properly, or not stored securely with satisfactory encryption
- independent security audits may be required to ensure security and compliance standards are met
- replacement by hardware vendors of defective components may result in days of downtime
- if relying on PST files: (1) they are susceptible to corruption resulting in data loss; (2) regulators, by nature, would have access to all information in Outlook including contacts, calendar and lawyer client-privileged mail

### Conclusion

Global Relay eliminates the financial and operational risks of implementing a compliant electronic recordkeeping, eDiscovery and continuity solution for Enterprises. Our 30 day trial, which includes setup, activation, training and support for your firm demonstrates our commitment to you, our belief in our team and our solution.

## Six Steps to Compliance for Enterprises

**Getting Started...**The Message Archiver and the Compliance Reviewer can be set up and made operational for your firm within hours.



**30-Day Trial.** Let's start you on the road to compliance without risk of commitment. No software, hardware, programming, or other capital outlays are required. Satisfaction is guaranteed since you have 30 days to try out our Services. If not fully satisfied, we can disengage the Services instantly upon request. In the meantime, your data is legally and confidentially protected, as well as securely stored.



**1. Gathering Info.** Let's talk. We recognize that compliance starts with combined proactive decision-making on the part of your compliance officers, IT technicians and senior management. We have the business, technical and legal team to match. Try our online demos at: [www.globalrelay.com](http://www.globalrelay.com), or schedule a live product demonstration. We also can provide you with a Fee quote.



**2. Sign Up.** To sign up, starting with the 30-day trial, complete the [Registration Information](#) form online at: <http://www.globalrelay.com/signup.aspx>. Linked to the online signup is our online Services Terms & Conditions that you must carefully read and "Accept" to complete your registration.



**3. Installation.** Upon receipt of your online signup request, Global Relay's Provisioning Team will work with your IT contact or hosted mail provider to complete the installation. For archiving customers, if your firm operates its own mail servers, simple journaling or plug-in instructions will be provided. Global Relay will test, monitor and troubleshoot the connection to confirm that the mail is flowing into the Message Archiver. Instant Messaging and BlackBerry message capture will also be activated at this time, as required.



**4. Welcome Package.** Once the mail is confirmed to be flowing, we send you a Welcome email, as well as provide your Administrator with account information. At this point, your Administrator may assign User access rights and set up User Groups.



**5. Online Training.** While our technology is extremely intuitive, we offer free training sessions held by conference call, concurrently while you access the system through any secure web browser. These sessions run about 60 minutes. If you require further assistance, our team of well-trained technical support professionals will gladly guide you through any questions.



**6. Usage Consultation & Ongoing Support.** Upon expiry of the 30-day trial, assuming you are satisfied with our Services, you will be engaged as a full customer. The Fee Agreement is required to be signed and returned to Global Relay. Upon request, we can provide you with messaging statistics, such as usage reports (standard statistics can also be found within your system). For compliance archiving customers, the tamperproof, dedicated WORM drive will be activated.

**Enjoy the peace of mind that comes with our Enterprise Messaging Solutions.**

## Global Relay's Suite of Hosted Business Services

Global Relay's proprietary technologies have been specifically engineered to secure, filter, capture, index, archive, monitor and unify all email and attachments, together with other electronic communications such as instant messages (IM), BlackBerry, e-fax, Bloomberg, Reuters, and imported historical email for instant online search and retrieval within seconds from anywhere. Global Relay offers businesses a proactive, all-in-one hosted solution to address messaging compliance, management, storage, security, eDiscovery, business continuity and disaster recovery.



### HOSTED MESSAGE ARCHIVING & MONITORING

**Enterprise Archiving**, our fully-managed message archiving, monitoring and eDiscovery solution which mirrors data in our East/West Coast Data Centers integrating HP servers, Sun Microsystems' operating systems, and Blue Arc NAS/SAN storage, to provide unmatched performance, resilience and scalability:

1. **The Message Archiver**, our core message archiving system. Powered by true search engine technology to retrieve any message in seconds regardless of volume or age, it offers unlimited online storage for the long-term preservation, management and retrieval of email, attachments and IM. With personal message management tools, Users may view, reply to, forward and download all their current and historical messages, and even create new mail. You will never lose email again.
2. **The Compliance Reviewer**, our multi-tier, turn-key supervisory system with one-click compliance, one-second review, and categorization by flags, priorities, folders and labels. Email & IM policies for proper usage, corporate governance and compliance are easily enforced and monitored. Rogue messages are identified by keyword filtering, specific query or random sampling.
3. **The Storage Robot**, our secondary near-online storage (NOS) using dedicated, tamperproof WORM (**Write Once, Read Many**) drives with write verification (used in addition to primary online SAN storage), to provide an authentic, evidentiary quality copy of every message.

**Compliance Archiving**, provides industry-specific solutions developed to assist you in meeting the stringent regulatory compliance requirements mandated for electronic records, with advanced Audit & eDiscovery tools.

**Our technology provides compliance with:** SEC Rule 17a-4; NASD Rules 3010 & 3110; NYSE Rules 342, 440 & 472; RIA SEC Rules 204-2 & 206(4)-7; IDA Bylaw 29.7; FSA, *Sarbanes Oxley Act*; HIPAA; *Graham-Leach Bliley Act*; PIPA & PIPEDA; *Patriot Act*; *Data Protection Act*, Basel II, FERC; FCC, and more.

**Legacy Data Importer** imports historical email from PST, MDIR & Mbox files, backup tapes etc. to the Message Archiver for rapid search and retrieval.



**MESSAGE CONVERTER** for BlackBerry enable messages to be automatically downloaded and consolidated in the Message Archiver, or converted for external delivery to third-party archives.



**EMAIL**, our secure email system provides simultaneous POP, IMAP and Webmail access.

- includes Virus Scanning & SPAM Filtering
- support for Outlook & Outlook Express and seamlessly integrates with the Message Archiver



**EMAIL FILTERING** shields your corporate Exchange/in-house email servers from attack.

- provides front-end Virus Scanning & SPAM Filtering
- 7-day Store & Forward mail-queuing in the event of a network outage or server upgrade/repair
- 7-day Storage Buffer to recover lost email between the time of a server crash and your last backup



**EMAIL CONTINUITY**, our secondary "always on" 30-day rolling Webmail system with POP & IMAP access for complete email continuity in the event of a disruption or disaster.

- includes Virus Scanning & SPAM Filtering
- support for Outlook & Outlook Express and seamlessly integrates with the Message Archiver



**IM INTERPRETER** facilitates the secure capture of instant messages (IM) by the Message Archiver for easy search, retrieval and monitoring. We offer three IM solutions depending on a firm's requirements:

1. **Enterprise IM**, our secure, internal Jabber messaging system
2. **Hosted IM Filtering** & capture of AOL, MSN, ICQ, Yahoo & LCS via Akonix L7 Security Servers
3. **IM Capture** of Akonix, Facetime & IM Logic Proxy Servers via SMTP

## Why Archive?

### It's a matter of Reputation, Integrity, and Control.

The email burden should no longer be thought of as solely a back office or IT matter. It should involve proactive decision-making on the part of senior management to choose a high quality storage and backup solution to efficiently retain, protect, manage, and ensure authenticity of email records, and to implement safeguards and internal supervisory controls against inadequate email management practices. Selecting an email archiving solution should be considered an investment in your organization's future, both in terms of risk reduction and overall firm image.

### COMPLIANCE

#### 1. Litigation

Expensive and damaging lawsuits, like the recent Enron-related settlements, demonstrate the importance of having an archiving and monitoring system that ensures information security, availability, and integrity.

**Liability** - Email and IM correspondence are inherently "public" forms of communication. Your organization is liable for all email distributed via your organization's email system (including personal email and IM). Companies must establish supervisory controls to enforce email usage policies in order to reduce legal risks and improve employee awareness of the related legal exposure. Accordingly, an archiving system should have unified online search, retrieval, monitoring, and audit tools for policy enforcement. Information preserved in the Archive is the property of the company and can be used to protect itself and proactively address discovery issues by taking control of and planning for disclosure.

**Preserving Evidence** – Email, considered by many lawyers to be the "digital smoking gun" of litigation and often referred to as "evidence mail," can be legally admissible as evidence in a lawsuit and is frequently the principal focus of electronic discovery. Businesses have an affirmative legal obligation to preserve all evidence relating to a dispute as soon as the potential for litigation arises. Problems and consequences associated with inadequate record keeping include:

- Burden of court-ordered sanctions and penalties for failing to preserve emails relevant to anticipated or ongoing litigation. In fact, for pending litigation, it is a criminal act to destruct evidence;
- Possibility that, in order to respond to eDiscovery requests, enormous undue burden and expense may be incurred to restore archived data and review vast volumes of electronic data when an unmanaged email system must respond to production requests. This may also result in inadvertent disclosure of privileged or proprietary materials;
- Imposition of discovery sanctions under the Rules of Civil Procedure, including fines, preclusion of testimony, adverse inference instruction to the jury, or even entry of judgment against the party responsible for the improper document destruction or alteration; and
- Damage to reputation as a consequence of non-compliance or poor record management outweighing penalties imposed.

#### 2. Email Archiving Industry Practice Standards

**Retention of Email** – Retention requirements ensure that records are available for review by regulators and auditors. The requirements apply to companies' business correspondence with the public, tax and employment records, and privacy rights of customer information. Archiving is based on your organization's policies, but litigation consequences often warrant email being archived for up to seven years and beyond. Companies will have to keep the underlying records for an extended period of time and retain them in both auditable and accessible forms that will allow authorities to accurately recreate the company's risk projections.

**Rapid Search & Retrieval** – Increasing discovery and disclosure requirements and freedom of access, privacy, and litigation matters require a timely and effective response to information and discovery requests. To effectively respond, a fully accessible archiving system providing rapid search and retrieval via full text indexing of all email and attachments is required.

**Audit Trail** – Archiving provides secure controls to ensure data is processed fairly and lawfully by logging an audit trail that tracks every action against every archived email (i.e. when email is stored, viewed, retrieved, deleted, forwarded), or when any changes are made to the archive system (i.e. retention policies or user access rights). The audit trail cannot be circumvented due to the Digital ID, dual secure encryption, and real-time indexing. Therefore, the audit trail actually protects the company, its users, and trusted staff with

authorized access to view personal or confidential email such as systems administrators, compliance personnel, privacy officers, and auditors by eliminating concerns related to abuse of access privileges.

**Monitoring** - Real time company-wide monitoring capabilities of all email captured by the archive enables the instant detection of inappropriate or misleading email content that violates internal policies or legislation.

### 3. Legislation

An appropriately designed and implemented email archiving system can dramatically simplify compliance. A variety of federal, provincial, and foreign regulations impose record keeping and monitoring requirements on companies in connection with electronic messages:

**Privacy** - There are enormous privacy implications for record management disciplines with respect to protection, retention and destruction of customer records and files. To ensure that litigation claims or customer complaints are adequately defended, companies should be very careful about how stored email containing personal customer information protected, as well as how it is accessed and used by its staff with administrative rights.

Various privacy laws and data protection acts provide a right of privacy with respect to customers' and employees' personal information that is collected, used, or disclosed by an organization in the private sector.

**Extra-jurisdictional requirements** – Companies operating internationally must meet international standards as they are no longer beyond reach of the US Sarbanes-Oxley Act (SOX) and/or other foreign mandates, as well as extra-jurisdictional terms in countries' legislation.

SOX is intended to improve corporate disclosure and financial reporting and increase the accountability of accounting firms for their audits of public companies. While SOX is US legislation, it also has an impact on organizations doing business with US companies. In addition to the requirement that an organization must maintain sufficiently detailed audit information for at least seven years, SOX also established a new criminal statute relating to the destruction, alteration, or falsification of records in contemplation of, or in a federal investigation, action, or bankruptcy.

## SECURITY AND PROTECTION

As a result of increasing interconnectivity, information is now exposed to a growing number and wider variety of threats and vulnerabilities. Information security is essential to maintaining competitive edge, cash flow, profitability, legal compliance, and commercial image. Data must be secured to prevent unauthorized access. Archiving guards against disclosure of non-public customer information, company trade secrets, confidential documents, or intellectual property. The archiving process has secured end-to-end dual encryption using highest standards (NSA level encryption, and a simultaneous secondary Digital ID via an RSA bit key).

**Backup Tapes** – Conventional tape backups are not a substitute for email archiving. Backup is not designed for compliance reviews or legal discovery. Huge amounts of expense and time are consumed in recovery of email from a tape backup, and often the messages are never found. Long term archive storage ensures there is no loss of corporate intellectual property. Archiving also adds value through collaboration and consolidation of disparate historical and current email in a unified online storage system while reducing storage and backup time.

**Email Lifecycle Management** - Effective email management solutions must support the complete email lifecycle, including creation, retention, auditing, management retrieval, and timely deletion of email based on internal record policies. If not properly managed, the sheer volume of corporate email generated daily can dramatically impede an organization's growth and even threaten its ongoing viability.

**Business Continuity & Disaster Recovery** – Geographically isolated offsite backup allows the archive to act as a permanent secondary mail system to send and receive email if the primary mail system is unavailable.

**Exchange Archiving** - The archiving system seamlessly integrate with hosted Exchange, eliminating concerns over mailbox size limitations and resulting in improved email system performance through operational efficiencies. Archiving also reduces the capital and operation expenditure associated with storage management. Implementation is simple and fast, without need for complex infrastructure, extra hardware, software, or programming.

## RISK MANAGEMENT

Whether communicating with clients, business partners, or employees, email has become a principal business communication tool that must be managed as an integral part of an organization's risk management solution. Mismanaging critical customer email information puts your professional reputation in jeopardy and undermines stakeholder confidence. Email archiving technology will play a proactive role in building transparency and ensuring that email is addressed as part of an overall records management program.

**Business Record** - Email is deemed by the courts and a myriad of legislation to be a "business record." As a business record, email should be preserved in a secure but accessible long-term storage system according to an organization's policies, similar to paper records. Email retention and management are essential to protecting an organization's intellectual capital. As well, by preserving a permanent copy of every incoming, internal and outgoing email and attachment, archiving provides you with an indisputable chronological record to help safeguard your business operations.

**Proof of Integrity and Authenticity** – In order to preserve authenticity and irrefutability of email in the event of litigation, archiving removes any opportunity for intentional or inadvertent modification or deletion of email with real time capture. WORM back-ups with write-verification, end-to-end security, and audit capabilities ensure message integrity and authenticity, providing quality evidentiary records admissible in court.

## Sarbanes-Oxley Messaging Compliance

The now infamous accounting scandals at major corporations such as **Enron**, **Worldcom** and **Arthur Andersen** triggered extensive revisions to electronic data management legislation around the world. With the implementation of the **Sarbanes-Oxley Act (2002)**, business records must now be protected at all junctures to prevent document tampering and destruction. The SOX rules also serve to promote corporate accountability; especially when a company is involved in audits, investigations, litigation or other formal proceedings.

### What is the significance of Sarbanes-Oxley (2002)?

Sarbanes-Oxley requires that all publicly traded companies implement reliable records management practices including the ability to efficiently retain and retrieve data. These requirements aim to protect investors from misrepresentation and fraud of financial data, and to prevent record tampering by improving the accountability, transparency and disclosure of information of public companies and their auditors.

### Who must comply?

Generally, these rules are applicable to all publicly-traded companies under the SEC's jurisdiction. However, Sarbanes-Oxley has created a corporate governance benchmark for all business to establish and adhere to systematic records management, including email retention policies and practices.

### What are the Archiving & Compliance Requirements under Sarbanes-Oxley?

#### Audit & Quality Control:

Section 103 requires that all audit work papers, and other information related to an audit report should be maintained for at least 7 years in sufficient detail to verify the conclusions reached in an audit report.

#### Production of Data:

Section 105(b) requires the production of all audit-related information to verify the accuracy of any documents or information supplied.

#### Corporate Responsibility:

Section 302 requires that senior management of publicly traded companies personally attest to the accuracy of financial results.

#### Internal Supervision Controls:

Section 404 provides that management is responsible for the implementation and maintenance of internal controls for the purposes of financial reporting.

#### Tamper Proof:

Section 802(a) establishes penalties for the intentional alteration, destruction or mutilation of records or documents in order to impede an investigation.

#### Retention of Information

Section 802 requires all audit-related information to be retained by an auditor for a period of not less than 7 years. This includes work papers, memoranda, correspondence, communications, and electronic records (including email and IM).

### What are the repercussions of non-compliance?

The financial consequences of non-compliance are real, and increasingly severe. Depending on the violation, non-compliance can be punished by a fine and/or a period of detention. Recent high profile judgments include:

- \$1.45 billion judgment against Morgan Stanley for being unable to produce reliable emails in the course of fraud litigation
- \$2.5 million fine against Merrill Lynch for failing to promptly produce e-mails over a period 17 months

## Complying with the New Federal Rules of Civil Procedure

The Federal Rules of Civil Procedure (FRCP) are a comprehensive body of rules governing Federal civil procedures for all US organizations in all industries. Recent amendments to the FRCP introduced provisions specifically concerning Electronically Stored Information (ESI) and eDiscovery. These new amendments will bring predictability and consistency to an ambiguous body of regulations. The amendments specifically address the importance in which firms preserve, manage and produce electronic records.

### KEY AMENDMENTS TO THE FRCP

#### **Rule 16** *Pretrial Conferences; Scheduling; Management*

Establishes a process for the disclosure or discovery of electronically stored information by the parties;

#### **Rule 26** *General Provisions Governing Discovery; Duty of Disclosure*

**Rule 26(a)** ESI is specifically defined as discoverable information; parties are required to present a description by category and location of all ESI during initial disclosure.

**Rule 26(b)(2)** Discovery of ESI identified as not reasonably accessible because of undue burden or cost may be disregarded. The responsive party is required to show discovery is not reasonably accessible and identify the sources of potential information. For good cause, the court may order discovery and impose limitations if compelled by the requesting party.

**Rule 26(b)(5)(B)** Information produced in discovery subject to claim of privilege or protection can be recalled. The producing party upon making the claim is required to notify the receiving party of the claim and its basis. The notified party must return, sequester or destroy the specified information.

**Rule 26(f)** Requires the parties to conference early in the pretrial process to discuss any issues relating to disclosure or discovery of ESI, including the type and form, claims of privilege & protection and potential changes to the limitations of discoverable information.

#### **Rule 34** *Production of Documents and Things and Entry Upon Land for Inspection and Other Purposes*

Specifically defines ESI as a category of “document and things”; permits the requesting party to examine ESI within a reasonable time, form and manner for inspection. A request for ESI can specify the form of production; the responding party can object to this request and disclose discoverable information the way in which it is maintained.

#### **Rule 37** *Failure to Make or Cooperate in Discovery; Sanctions*

Provides “safe-harbor” for parties failing to provide ESI, lost or destroyed as a result of routine good-faith polices.

The New FRCP obligates organizations to have a strategic records management policy in place to securely capture and store electronic information in its native form, full review and audit capabilities ensuring authenticity and integrity and easily search and retrieve records.

To learn more, visit [www.globalrelay.com](http://www.globalrelay.com)  
or call 1.866.484.6630 (toll free)

