

thomson reuters messenger compliance

CONVERT AND ARCHIVE THOMSON REUTERS MESSENGER



THOMSON REUTERS

Global Relay is the exclusive integrated archiving partner of Thomson Reuters worldwide.

Thomson Reuters, through a fully integrated technology partnership with Global Relay, provides Thomson Reuters Messenger customers with a one-stop solution for real-time collaboration and compliance for firms to meet SEC and FINRA regulatory demands and address eDiscovery needs.

Thomson Reuters Messenger Compliance converts all Thomson Reuters Messenger content and all active compliance actions into email, to allow:

1. Ingestion by Global Relay's hosted Message Archiver & Compliance Reviewer
2. FTP download to customer's in-house archiving system, or
3. SMTP delivery to customer's in-house archiving system via VPN/TLS/SSL

About Thomson Reuters Messenger

Thomson Reuters Messenger is a secure, high-performance communication service designed to meet the needs of professionals in the financial industry.

Thomson Reuters Messenger enables market professionals to collaborate in real-time and build a powerful, global directory of contacts. Thomson Reuters Messenger offers connectivity to public instant messaging (IM) services, including Yahoo!, AOL®, MSN®, and premium collaboration capabilities, such as persistent chat rooms, file sharing, rich media exchanges (i.e. screenshots), and structured financial forms.



About Thomson Reuters Messenger Compliance

Thomson Reuters Messenger Compliance (TRMC) incorporates "Active Compliance" (pre-review) tools that enable real-time compliance monitoring of all Thomson Reuters Messenger content and policy enforcement with restricted phrase/keyword blocking and/or flagging, configuration of Chinese Walls to prevent communication exchanges amongst and between parties, and definition of custom disclaimers. All active compliance actions are logged (collectively "TRMC metadata") together with all Thomson Reuters Messenger content logged by TRMC (collectively "Thomson Reuters Messenger compliance records").



Global Relay and Thomson Reuters are seamlessly integrated for intelligent mapping of TRMC actions and meta data for superior display and reporting.

TRMC & Global Relay's Message Archiver

Global Relay's Message Archiver and Compliance Reviewer seamlessly integrate with TRMC to provide Reuters customers with long-term storage of all Thomson Reuters Messenger and TRMC metadata, to help customers meet compliance requirements and address "litigation readiness".

1. The Message Archiver automatically captures a copy of all new Thomson Reuters Messenger compliance records and TRMC metadata.
2. All Thomson Reuters Messenger text is fully indexed and processed for search and retrieval purposes.
3. The messages are then time-date stamped, serialized and written to dedicated customer WORM drives.
4. Thomson Reuters Messenger compliance records and TRMC metadata are automatically routed to a "Thomson Reuters Messenger" system folder in the Message Archiver; the service of origin for each instant message is identified by an icon:
5. TRMC pre-review flags are appended to the Message Archiver's Audit Trail to enable post review.

How TRMC Works

TRMC securely transfers all Thomson Reuters Messenger compliance records and TRMC metadata on a scheduled basis via the TRMC Message Logger. Thomson Reuters Message Converter then parses and assembles the TRMC XML messages into email conversations for secure archive delivery via the following steps:

1. TRMC XML message logs are downloaded on a scheduled basis using secure HTTPS "pull technology"
2. Thomson Reuters Messenger content statistics, such as the # of Users, # of messages & duration are inserted into the header
3. User email address mappings are appended to Thomson Reuters Messenger user names, if required
4. XML messages are assembled into logical conversations (based on customer-defined parameters)
5. Screen Shots are appended inline for easy review
6. TRMC metadata, including active compliance (pre-review) "actions", are appended to the header
7. File Transfer URLs are appended inline for easy retrieval of files
8. XML conversations are converted to email for user-friendly display
9. Digital fingerprint or "HASH" is created for each conversation and logged
10. Every Thomson Reuters Messenger compliance record is appended to a log file
11. Automated log file summaries are then delivered to the TRMC customer via secure email for audit and reconciliation purposes

About Global Relay's Message Archiver

Global Relay's Message Archiver & Compliance Reviewer enable the review, retrieval and monitoring of all Thomson Reuters Messenger compliance records, such as chat room messages, files, screenshots, forms and instant messages for compliance, audit and policy purposes by compliance officers. Optionally, customers may archive their corporate email.

Global Relay's Message Archiver and Compliance Reviewer incorporate:

- Geographically dispersed MCI/Verizon Data Centers with mirrored SAN storage
- Search engine technology providing instant search and retrieval of messages
- Hierarchical monitoring systems
- Keyword & phrase scanning with integrated random sampling
- Lifecycle management of 3 to 7 years or beyond
- Secure end-to-end message transport (HTTPS, SSL, TLS) & secure storage (AES & RSA encryption)
- Audit trails for all system events and user actions
- End-to-end message reconciliation
- Readily available data for SEC/FINRA audits, subpoenas or eDiscovery
- Online Audit and eDiscovery tools

Compliance with TRMC

Pre-Review. TRMC incorporates "Active Compliance" (pre-review) tools to assist in meeting supervisory compliance regulations such as under FINRA (NASD) 3010, as well as enforce internal HR or corporate governance policies in order to reduce business and legal risks. All Thomson Reuters Messenger compliance records, including TRMC metadata, is made available for download and conversion via Global Relay's Thomson Reuters Message Converter to ensure compliance in connection with electronic messaging requirements.

Post Review. Compliance regulations such as SEC Rule 17a-4 and FINRA (NASD) Rules 3010 & 3110 require electronic business communications, such as those conducted via Thomson Reuters Messenger, 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. Global Relay's Thomson Reuters Message Converter assists with the archiving of TRMC compliance records.

About Global Relay

For over 12 years, Global Relay has delivered high performance Messaging, Compliance, eDiscovery, monitoring and disaster recovery services in connection with Email, Instant Messaging, Bloomberg, Thomson Reuters Messenger, Social Media, BlackBerry and voice. Global Relay specializes in Messaging Compliance and Archiving solutions for financial firms subject to SEC, FINRA, SOX, FRCP, IROC, MiFID, FSA, DPA and privacy rules. With offices in New York, Vancouver, London and Singapore, Global Relay provides services in 90 countries to over 14,000 customers including public companies, banks, broker-dealers/public stock exchange, investment advisors, hedge funds, investment dealers, and global multinationals including 22 of 25 of the top global banks as customers.

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