

Iron Mountain End-to-End E-Mail Compliance Services



Managing SEC E-Mail Compliance to Minimize Costs and Risks

A Kinder, Gentler SEC? Not Exactly.

With a dramatically increased budget and continued public pressure to do more to protect investors, the SEC is not exactly becoming a kinder, gentler agency. The volume, level and intensity of SEC e-mail and instant message (IM) investigations have continued to increase. In today's litigious environment, financial services companies are struggling to effectively deal with:

- SEC, NASD and NYSE monitoring and supervision requirements
- SEC Rule 17 and CFTC retention requirements for e-mail and IM
- An ever-increasing volume of discovery requests
- The exponential growth in e-mail storage costs throughout the company

A common mistake that many firms commit is to attack each of these problems with a different point solution. This piecemeal approach results in duplicating software and maintenance costs and headaches — plus making it even harder to respond to broad and recurring discovery requests.

A Complete E-mail Compliance Solution

What if there was a solution that could effectively tackle all of your firm's e-mail compliance and storage headaches? Now there is.

Iron Mountain's integrated e-mail compliance services deliver:

- E-mail and IM supervision and retention for regulatory compliance
- Data restoration and electronic discovery support services to reduce your legal risks
- E-mail mailbox management to shrink your e-mail storage costs and server performance problems

Our Web-based service consolidates your organization's e-mails and instant messages into a unified, highly scalable archive for fast and easy supervision, retention, access and management. As an outsourced service, our E-Mail Archiving Services provide a comprehensive infrastructure without the burden and cost of implementing and maintaining overlapping compliance technology solutions.

Here is how Iron Mountain's services deliver an end-to-end e-mail compliance solution.

Achieve Compliance		
Feature	Description	Compliance Benefits
Regulatory compliant e-mail archiving	Seamlessly captures and archives all targeted messages passing through Microsoft Exchange and Lotus Domino servers	<ul style="list-style-type: none"> • Ensures electronic message recordkeeping compliance with: <ul style="list-style-type: none"> - SEC Rules 17a-1, 17a-3, 17a-4, 17a-6 and 204-2 - NASD 3010 and 3110 - NYSE 342 and 440 - CFTC 1.31 and others
Monitoring and supervision	Captures selected incoming and outgoing messages for monitoring and supervision. Also provides auditable records of supervisory reviews	<ul style="list-style-type: none"> • Helps financial services firms seamlessly and cost-effectively meet NASD Rule 3010 and NYSE Rule 342 regulations • Helps companies minimize their legal liability from inappropriate employee communications • Assists in employee compliance training and customer service support

Reduce Legal Risks		
Feature	Description	Legal Benefits
Data restoration	Quickly restores data from thousands of backup tapes - with defensible chain of custody - and makes them easily accessible in our searchable Digital Archives	· Helps you respond effectively, reduce attorney search and discovery fees, and assess your legal exposure early in the process
Powerful query and results management tools	Provides the ability to quickly search across multiple mailboxes to find all relevant messages and attachments, organize those messages into subject matter folders, and export to designated individuals	· Speeds up and simplifies the process of searching and organizing large volumes of e-mail for faster, lower-cost discovery response
Control E-Mail Storage Volumes		
Feature	Description	IT Benefits
Automated mailbox management	Uses automated rules to extract designated messages from e-mail servers and places them in the Digital Archives Replaces original messages with shortcuts in users' mailboxes	· Optimizes e-mail server performance · Reduces e-mail message storage by 50% or more · Shrinks e-mail backup and the restore time and burden · Makes it easier to consolidate e-mail servers · Lets end-users access archived e-mails with one click, reducing help desk calls

Leverage Our Resources

As an outsourced service, Iron Mountain is uniquely qualified to deliver:

- Scalable infrastructure that enables you to implement a fully compliant solution with a lower total cost of ownership than in-house solutions
- A Supervision solution that adapts to your business practices
- The industry's leading third-party downloader service for SEC and CFTC compliance
- Proven data restoration and disaster recovery services
- A total e-mail solution that eliminates the costs and headaches of overlapping point solutions
- Trust — more broker-dealers put their trust in Iron Mountain than in any other company

Iron Mountain has the expertise, comprehensive technology infrastructure, and responsive service to cost-effectively meet all of your organization's e-mail compliance challenges. Since 1951, Iron Mountain has stood alone as the global leader in records and information management, earning the trust of over 150,000 customer accounts around the world.

CONTACT US TODAY & START REDUCING YOUR RISKS TOMORROW!

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