

## New York-based Brokerage Firm

### QuickView

#### Industry

Brokerage/Banking

#### Application

Email Archive and Disaster Recovery

#### Integrator

Digital Storage Solutions

#### Solution

Plasmon™ G-Series Libraries

QStar Data Director

KVS Enterprise Vault for Exchange

This New York-based brokerage firm consists of three groups: The Private Capital Management Group invests — through a \$425 million fund — in companies with a sustainable competitive advantage in large and growing markets. The Mergers & Acquisitions group has earned its reputation by consistently providing independent expert advice on some of the most challenging and significant mergers and acquisitions of the past five years and their related transactions. In 2001, the firm expanded its operations by introducing a Corporate Restructuring Group.

As an entity regulated by the Securities and Exchange Commission (SEC), this brokerage firm's primary goals for archival storage were to comply with the various SEC regulations and to have an adequate disaster recovery plan executed by appropriate hardware and software.

In short, the brokerage firm needed a solution that would allow it to efficiently and cost-effectively store/archive and find/retrieve email messages and other data. For SEC compliance, the solution had to include write-once media, data accessibility and the ability to store multiple copies at both a primary and a secondary location. For disaster recovery, the solution needed to provide the IT staff with an automated means of quickly backing up data for storage off-site.

For internal use, including provision of evidence in the case of a possible future lawsuit, the solution also had to provide audit trails for the discovery process.

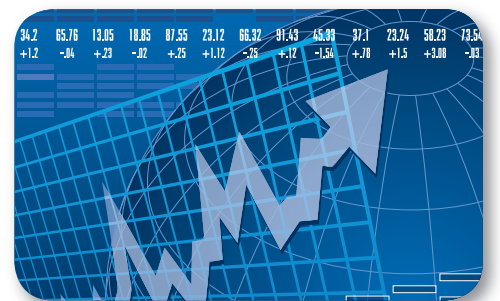
According to the IT manager at the brokerage firm, "We had a number of hurdles to clear, including SEC compliance, disaster recovery planning and internal data access issues. Rather than suggesting three separate solutions, DSS (Digital Storage Solutions) came up with one all-encompassing solution."

### Industry Profile

To comply with SEC Rule 240.17 a-4(f), which outlines SEC regulations regarding management of and access to electronic records, the brokerage firm selected DSS to design and implement the solution. DSS recommended a Plasmon™ G-Series Library with Data Director data management software from QStar Technologies and Enterprise



Brokerage firm creates an email archive solution and implements a vital piece of its disaster recovery plan on Plasmon G-Series Libraries.



"Our business is to invest money and minimize risks. The investment we made in this solution is a sound one."



New York-based Brokerage Firm  
New York  
USA

Vault for Microsoft Exchange email archive software from KVS. DSS's solution also provides the firm with a critical piece of its disaster recovery plan and email message audit trails, which would be imperative during the discovery phase of a lawsuit.



## The Problem

The information contained in email messages is a major part of any corporation's intellectual property. The email messages between brokers and dealers and their customers are excellent examples of records that fall under SEC Rule 17 a-4. "Moving email messages from individual email boxes to archive was just one of the time-consuming tasks related to managing individual mailbox sizes," stated the firm's IT manager. "Our administrators were also burdened with moving data from server to server to make disk space available, retrieving archived messages and performing overnight backups of the data. In addition, complying with the SEC Rule was obviously a top priority for us."

The SEC sent the industry a clear message in 2002 when it fined five companies over \$8 million for failing to retain email messages and produce them for regulatory investigations. The SEC also has mandates covering disaster recovery planning. "One essential piece of our disaster recovery plan focuses on data accessibility," said the IT manager. "In case of a fire, corrupt data or system failure, we need to be able to quickly access our most recent data to resume daily commerce as soon as possible."

## The Solution

After a very short implementation and testing phase — just a couple of days — the firm has achieved its business goals.

"Thanks to the Write Once (WORM) storage capabilities of our new hardware and the search-and-retrieval capabilities of our new software, we are compliant with SEC Rule 17 a-4," said the IT manager for this brokerage firm.

According to Paul Greene, CTO of DSS, "The G-Series allowed the brokerage firm to select a library with the storage capacity they need today, with an upgrade path to 3TB of data in the future."

"We looked at Magneto Optical technology from another company, but went with Plasmon because of its hot swap drives, which maximize the accessibility of our data," said the IT manager. "With this combination of hardware and software, we've boosted our data's accessibility, which was important for complying with the SEC Rule."



He added, "My staff can recover old or 'lost' email quickly — in seconds rather than days — a big time saver. And, recovering from an Exchange crash no longer consumes an evening or the better part of a weekend."

"By incorporating a feature that provides real-time data replication to a disaster recovery site, the solution provides us with a way to implement our disaster recovery plan."

"Our business is to invest money and minimize risks. The investment we made in this solution is a sound one," the brokerage firm's IT manager concluded.

Alliance Storage Technologies, Inc. offers the only enterprise-class archive solution that ensures data permanence, authenticity, access, longevity and removeability, at the low total cost of ownership that businesses demand.

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