17a-4 DataParser for e-Messaging

Overview:

Compliance regulations of the SEC, FINRA, FSA and other regulatory organizations require that electronic business communications and collaborations be archived and monitored for compliance purposes. The 17a-4 Data ParserTM takes messaging data provided by many platforms and formats the content into either .EML or .MSG format. Converted content may then be forwarded and captured by the institution's email archive.

Features of the Parser

The DataParser automates many of the functions required to download, extract, parse and organize the message data for inclusion in a consolidated messaging archive. The DataParser runs as a Service in the Microsoft Windows environment and supports:

» Bloomberg® Data Streams

- o Automatic checking and FTP download of transcript data
- o Automatic expansion of compressed transcript files
- o Re-combination of message body with the attachment files
- o Inclusion of Bloomberg® personal and organization disclaimer data
- Ability to replace Bloomberg[®] email addresses with alternate addresses or corporate address

» Reuters Messaging® Data Streams

o Automated processing from Reuters XML transcripts.

» Blackberry® SMS

 Captures SMS messaging on the Blackberry Enterprise Service and formats as .eml files.

» Microsoft Office Communication Server® (OCS)

OCS messages are captured in the OCS SQL database. The DataParser runs a script against the SQL and converts the content. If a client is using the Public IM Connectors (PICS) for capturing public IM messaging, then that data will also be captured but with an indication of the source either included in the subject line or x-header.

» Microsoft SharePoint®

- Leverages SharePoint Event Handlers to capture content from wikis/ blogs, discussion list and other SharePoint content.
- Manages the sites on the farm which contain compliance content and format the content for archive ingestion.

» Microsoft LiveMeeting®

» Cisco WebEx Chat Capture

- » MessageLabs® Data Streams
 - o Pull of POD® Message data from a MAPI mailbox
 - O Sync of names to an external list.
- » LivePerson® Data Streams
 - o Captures LivePerson chats and formats for archive ingestion.
- **»** IM Trader[®] Message Data Streams
 - Automated processing from data source data
- » LinkedIn®, Twitter® and other social networking platforms
 - Public profiles are captured on LinkedIn, Facebook and other social networking sites and brought into compliance archive
 - o For corporate LinkedIn accounts, we capture InMail.
- » UBS Chat[®]
 - o Downloads and formats XML content from UBS Chats
- » Generic Features for all platforms
 - Multiple output options to facilitate ingestion into any email archiving program
 - o Ability to stage output into subdirectories or drop directly to a location
 - o Ability to export directly to an Outlook folder
 - Throttling of data output as to not overwhelm ingestion of messages by destination archiving platform
 - o Automated clean-up of archived download files after a hold period
 - o Timer structure allows the Parser to run at a specific time or after XX hours.
 - o Support for UNC addresses
 - o Summary Report that notes everything that happened for a run.

Additional Interfaces

17a-4's software development team has streamlined the development of new interfaces. If you institution is using an e-messaging/ collaboration platform which needs to be archived, please contact us for a development quote.

Demo/Trials

Please contact us at <u>sales@17a-4.com</u> or number below to arrange for a demo or a 30-day trial.

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