

## FINANCIAL - Compliance Requirements for Email Archiving

### US FINANCIAL SERVICES

The financial services industry is increasingly under stringent compliance regulation, specifically with regard to electronic communications. These strict mandates require the archival of electronic communications.

Without the correct resources and the ability to capture and retrieve all data, organizations are vulnerable to enormous risk.

Storing and managing these archives can be a challenge since it creates a burden on financial and human capital.

### COMPLIANCE CHALLENGE

Compliance for Financial services firms has become an alphabet soup of regulation. Many of the rules require retention of communications between broker-dealers and their customers, such as:

- FINRA: Book & Records (Rule 3110)
- SEC 17A-4 & NASD 3010
- SEC Rules 17a-4
- Amendments to Rules 31a-2 & 204-2
- NASD 3110
- NASD 2860 (b) (17)
- NYSE Rule 342

### EMAIL ARCHIVE & COMPLIANCE

Sonasoftware's archiving solutions helps our customers meet these challenges through key features of our platform including:

- 24x7 accessibility
- Configurable retention policy
- Advanced search of email and full text of attachments (500 file types)
- 8x replication in geographically diverse data centers
- Eleven 9's of data durability
- Exportable search results
- WORM compliant storage
- AES 256 bit encryption for data in transit and data at rest
- Custom tagging and advanced search for NASD 2860

### EMAIL ARCHIVE

Email Archive is a 100% web-based archive that is deployed in minutes to any email platform. Setup is fast with no hardware, software or installation required. It leverages the native journaling function of your Exchange server to ensure 100% data capture and data fidelity.

Capture and index not only all of your organization's emails, but also the attachments. The ingestion process allows users to search the full text of up to 500 types of attached files.

A Global Administrator manages extensive search options for all archived mail over any period available through our intuitive web interface. End users access and search their personal archives on the cloud through our Outlook plugin or via a web browser, eliminating the need for PSTs.

All archived emails are accessible in an online view and are exportable as PDF, message download or PST download for easy end user access.

All data is secured via industry standard encryption with a unique key assigned to each archive. There is never co-mingling of archive data. At the application layer we use Secure Socket Layers (SSL) to encrypt all communications between the browser and the datacenter. A processing pipeline ensures the performance and privacy of each archive.

### HOW IT WORKS

We leverage cloud computing technology to solve the problem of retaining email, files, documents, discussions and general enterprise data for compliant search and retrieval, legal hold, eDiscovery and to solve the long term storage burden facing businesses of all sizes.

We leverage an advanced cloud platform that provides a compassable services software layer atop Infrastructure-as-a-Service (IaaS) environments. This platform enables a turnkey SaaS offering for organizations of all sizes.

## About Sonasoftware

Sonasoftware was founded in 2002 for the purpose of providing software-based solutions that simplify and automate the process of replication, archiving, backup, recovery, centralize the management of multiple servers, and cost-effectively provide a disaster recovery strategy to protect valuable data. The result is higher availability of computer-based information, reduced risk of accidental or deliberate data loss, lower IT costs, and a sound disaster recovery strategy.

Sonasoftware is the only company that provides an integrated Backup, Recovery, Archiving, Replication and Migration solution for Microsoft Exchange, and SQL Server for businesses. Typically, customers have to buy multiple solutions from different vendors to get similar capability. Also, it would cost three to four times more to get comparable functionality offered by Sonasoftware's solution.

*Sonasoftware, A Leading Provider of Automated Archiving, Backup And Recovery Solutions For SMB's*

### Sonasoftware

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