

EmailXaminer

LEGATO solutions



Under the National Association of Securities Dealers (NASD) Rules 3010 and 3110, brokerage firms and securities dealers must establish procedures to monitor incoming and outgoing electronic communications relevant to their investment banking or securities businesses. In order to fully comply with these regulations, organizations must implement procedures to ensure supervision and auditable records of supervision are in place.

Email Compliance Management

Under the National Association of Securities Dealers (NASD) Rules 3010 and 3110, brokerage firms and securities dealers must establish procedures to monitor incoming and outgoing electronic communications relevant to their investment banking or securities businesses. These procedures must include providing reasonable supervision of these communications and keeping auditable records of these supervisory reviews. While this monitoring is required by law for NASD members, other organizations also are finding it necessary to monitor employee communications to ensure compliance with corporate email policies in order to limit legal liability.

EmailXaminer, a member of the LEGATO Messaging suite of products, help companies monitor email content to ensure compliance with government regulations and corporate policies. EmailXaminer automates and optimizes supervisory activity, providing a cost-effective and easy-to-use means of complying with NASD Rules 3010 and 3110, as well as the means for an organization in any industry to effectively monitor

employee communications. Using EmailXaminer, supervisors can quickly monitor inbound and outbound communications, improving their productivity, while reducing potential liability.

EmailXaminer offers a variety of advanced surveillance capabilities designed specifically for compliance with email regulations and policies. These capabilities include message sampling, customizable automated procedures, intelligent cross-mailbox searching, purging, and more.

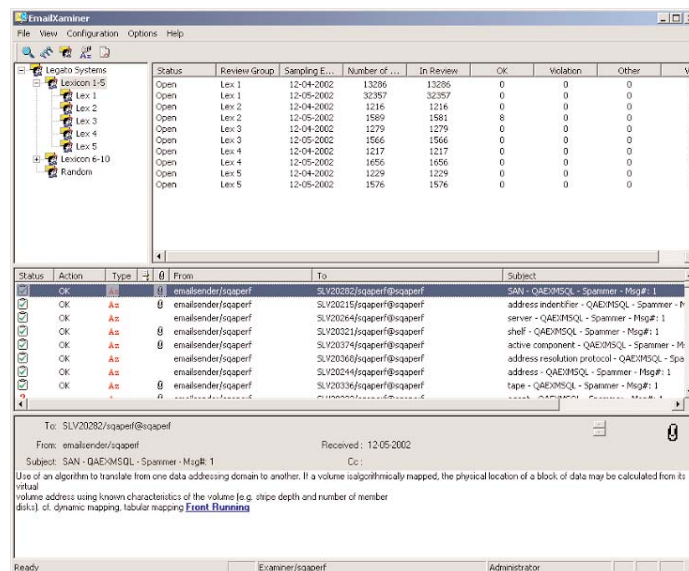
Flexible Sampling Rules for Monitoring

All outgoing or incoming messages for the members of each review group are sampled using representative sampling techniques. The results are aggregated into sets for supervisory review, reporting, and email record retention. EmailXaminer provides a flexible configuration of sampling rules, including the use of a lexicon set of industry terms and phrases.

Supervisory Review

With EmailXaminer, authorized supervisors review sampled messages using a simplified work cycle. Their actions are recorded for reporting and auditing purposes. Review groups and supervisors are created using NT Group or Windows 2000 Active Directory.

EmailXaminer message sampling is based on a process of capturing all email from the review group members throughout a sample period. The product supports three methods of sampling: Random Sampling, Lexicon Matching and a Lexicon Weighted method.



Support for Major Messaging Products

Supervisors access EmailXaminer's search capabilities via familiar interfaces. EmailXaminer is fully compatible with Microsoft Exchange and Lotus Domino. It also provides support for Bloomberg Mail by intelligently parsing daily deliveries. In addition, full integration with LEGATO DiskXtender delivers powerful, cost-effective data storage to meet the retention requirements of SEC Rule 17a3-4 and NASD 3110.

Simplified Email Administration

Built upon LEGATO's EmailXtender technology, EmailXaminer provides comprehensive message management that makes enterprise email easier to administer and use. EmailXaminer intelligently migrates aged messages and attachments to email servers, reducing backup time and improving performance. It works with most leading secondary storage media, providing virtually unlimited storage of email archives – helping reduce costs while boosting productivity.

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SPECIFICATIONS

SYSTEM SOFTWARE

Server

- Microsoft Windows NT Server 4.0 or Advanced Server with SP4 or higher
- Microsoft Windows NT 4.0 Option Pack (includes IIS and SMTP server)
- Microsoft Windows 2000 Server or Advanced Server

Supported Email Systems

- MS Exchange
- UNIX Sendmail
- Lotus Notes/Domino
- Instant Messaging
- Bloomberg Mail

Minimum Server Hardware

- 400 MHz Pentium or faster
- 8 GB free disk space
- 256 MB system memory
- Local CD-ROM drive

Supported Removable Media File Systems

- Erasable Optical, WORM, Tape, DVD-RAM, CD-R
- NTFS (Erasable Optical)
- SO-9660, HSG, Kodak Photo-CD, multi-session (CD-ROM)

Supported Removable Media

- WORM

- DVD-RAM
- Erasable optical
- CD-R
- Tape

FEATURES

EmailXaminer provides features and capabilities that make both compliance with NASD regulations and email monitoring in general cost-effective and easy to achieve.

Message Store Management

- Automatically stores and archives all email messages and attachments from primary message server to archival system
- Provides ability to create policies to categorize and manage email efficiently
- Provides compression and single instance storage of archived messages
- Features flexible life cycle and retention management

Integrity of Archived Messages

- Messages and attachments are stored together to ensure exact retrieval
- Email is tamper-proof throughout life cycle

- Audit tools monitor access to message archival database
- Maintains email as communication records for compliance with SEC, NARA, FOIA and DOD regulations, as well as ARMA guidelines

Access and Search Capability

- Powerful index and search of messages and attachments, including field, date range, full-text, Boolean, and natural language processing operations
- Fast and efficient access to Message Center via browser or optional email client plug-in
- Multi-mailbox searching for administrators or authorized personnel

Auditing and Reporting

- Provides reporting of message store utilization as well as status and resource reporting
- Full audit reports of supervisory activity in compliance with NASD
- Extensive list of customizable reports



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