



Email Archiving & Retrieval Appliance

Now Small Firms Can Meet Regulatory Compliance Requirements Easily and Affordably

A GROWING NEED

Compliance is an increasingly serious challenge for small and midsized businesses (SMBs). In particular, email retention is a critical issue for small broker-dealers and other financial services organizations, including investment advisors. Such securities-related firms must maintain a secure, non-alterable, and searchable archive of all their email for as long as seven years in some instances.

The ComplianceVault™ appliance from Intradyn is an all-in-one email archiving and retrieval device designed for these smaller firms, who until now have been significantly challenged to meet the strict requirements of SEC, NYSE, and NASD regulations. Specifically, the requirements of these regulations relating to email retention and retrieval include the following criteria:

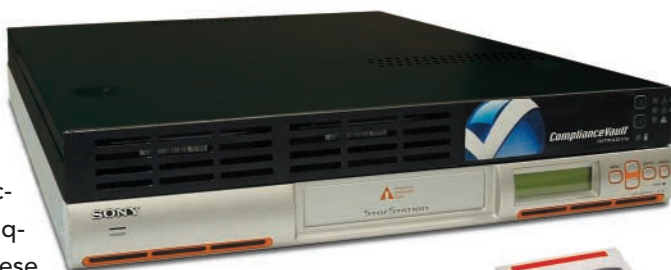
- Emails and attachments must be preserved in a non-alterable, non-rewritable, non-erasable format
- The company must be able to automatically verify the quality and accuracy of the archiving process
- Emails must be fully indexed and searchable
- All emails must be preserved for up to seven years, and in an accessible place for the first two years
- When emails are requested by the regulatory bodies, the stated retrieval time is "immediate"

Consultants estimate that as many as half of the small broker-dealers and investment advisory firms in the U.S. are out of compliance today. The reason is twofold: *complexity* and *high cost*. Previous solutions for email archiving, designed for large enterprises, are difficult for small firms to implement because they require specialized IT expertise, and go well beyond their modest IT budgets.

That's why Intradyn designed the ComplianceVault to be both affordable and extremely simple to use, requiring no integration of hardware and software. It's a complete solution: a plug-and-play, purpose-built network appliance, ready to run right out of the box.

PRODUCT DESCRIPTION

The ComplianceVault Email Archiving & Retrieval Appliance is an integrated hardware/software solution that captures all of a user company's email on a continuous basis, from an



ComplianceVault™ rackmount/1U model (left), bundled with Sony® AIT WORM tape library. Model CV120 (right) includes internal Sony® AIT-2 tape drive. AIT WORM tape cartridges in foreground.



unlimited number of mailboxes. It can be put into use immediately, requires no integration time or expense, and can content search up to one million emails per second based on keywords. The device is available in models with 120, 250, 500, and 800 GBytes of raw disk space, respectively.

Each model also archives all email onto non-alterable "WORM" (write-once, read-many) tape.

The ComplianceVault appliance works with Microsoft Exchange or any IMAP or POP3 email server. When attached to your network, all emails are instantly and continuously saved and indexed to disk, plus archived and indexed to tape—making them available for retrieval in a manner compliant with your company's corporate policies, as well as industry regulations.

The appliances incorporate Sony AIT-2 tape for archiving data to write once, read many (WORM) cartridges, each with a capacity of up to 130GB compressed (transfer rate of 6MB per second compressed). Sony's AIT WORM media—identified with a logo stamped onto the cartridge—has a life of up to 30 years. (See www.AITtape.com.)



ComplianceVault™

HOW IT WORKS

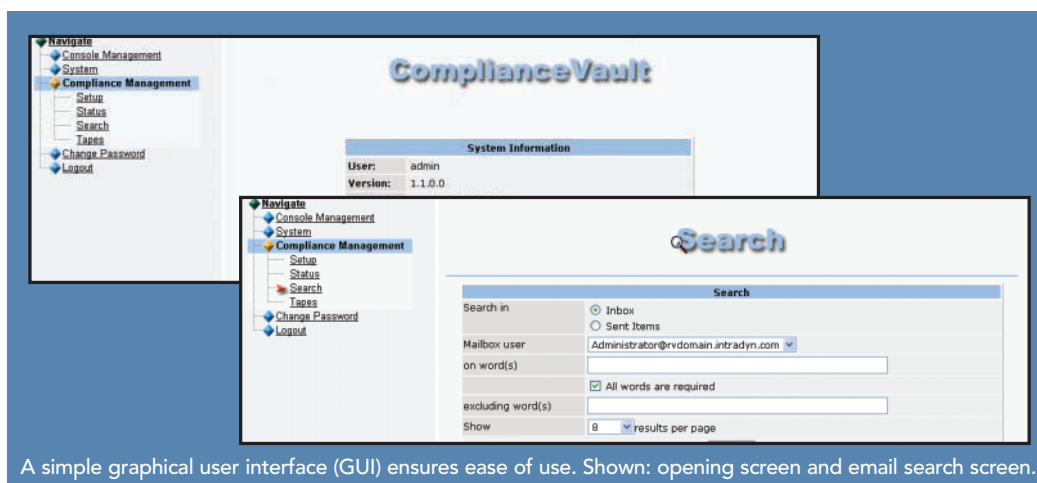
With the ComplianceVault appliance attached to a company's network, all emails are instantly and continuously archived and made available for retrieval in a manner compliant with your company's corporate policies, as well as with industry regulations. Emails are stored and indexed continuously to disk and, in addition, archived and indexed permanently to non-rewriteable WORM tape. The appliance incorporates software that is proprietary to Intradyn, but data can be read with generally available software tools.

In non-SEC settings, the device can be configured for any of a variety of common corporate email applications, and can be used for headquarters locations or branch offices. Industries other than financial services also have records retention requirements that include email, governed by a growing list of 4,000+ federal and state laws and regulations that specifically concern e-records.

FEATURES AND BENEFITS

The ComplianceVault™ Email Archiving & Retrieval Appliance meets your needs for a ready-to-use, fully featured compliance solution:

- Sets up in minutes and starts working immediately; can be placed anywhere on the Internet
- The administrator can access the device from anywhere on the Internet
- The device automatically processes, indexes, and archives email
- Email search and discovery is effortless—searches up to one million emails per second
- Email storage management is also done via web browser
- Email attachment management ensures no duplicates—the system retains only one original
- A daily email status report clearly verifies which emails are being archived
- Complete tape information is available at your fingertips
- Convenient online documentation is provided
- No ongoing monthly charges, unlike high-priced outsourced email archiving services



“ Intradyn’s ComplianceVault appliance supports the functionality needed to enable compliance at a digestible price for sensitive IT budgets. ”

Peter Gerr,
Senior Analyst, Enterprise Strategy Group

INVESTMENT RETURN

The ComplianceVault™ appliance has both hard and soft ROI associated with it. Soft cost savings come in several ways, relating to the ease and speed at which a company can supply accurate information to auditors. Speed is very fast due to the disk-to-disk-to-tape (D2D2T) design that Intradyn uses in the ComplianceVault appliance.

Not only can it be a stressful experience for a records manager to go through an audit, it can cost the company many thousands of dollars in salary and resources. With the ComplianceVault appliance, that task is reduced to a matter of minutes, providing auditors simple access to very specific information.

Both courts and government agencies are increasingly expecting faster response times in their requests for companies to produce emails. To date, several corporations have been asked to search tens of millions of emails and produce very specific, individual messages tied to certain occurrences or events—in tight timeframes. Failure to meet these deadlines has resulted, for some, in obstruction of justice charges.

In addition to the “soft ROI” related to human resources savings, there are the hard cost savings in not having to pay fines and “discovery costs.” Avoidance of these costs represents the most significant benefit a firm gains from the ComplianceVault appliance, greatly exceeding the investment for the device.

SUITABILITY OF AIT WORM TAPE FOR SEC COMPLIANCE

Cohasset Associates (www.cohasset.com), a leading compliance consulting firm, has provided the following opinion about Sony AIT WORM tape for use in compliance applications: “The AIT-2 WORM tape cartridge complies with both the letter and spirit of SEC Regulation 17a-4. The technology of the AIT-2 WORM tape cartridge allows records to be retained on a medium that is both ‘non-rewriteable’ and ‘non-erasable’. The AIT WORM technology additionally provides for the ‘automatic verification of the quality and accuracy of the storage recording process’ as required by 17a-4. The regulation’s requirements of serialization, time-date recording, and index and records downloadability are also met by Sony’s AIT-WORM technology.”

“ The ComplianceVault ensures the fastest possible access to your email records when the auditors or examiners come calling. ”

Mike Karp,
Senior Analyst, Enterprise Management Associates

SPECIFICATIONS SUMMARY

Standalone Models

- Model CV120-AIT2: 120 GB internal disk drive
- Model CV250-AIT2: 250 GB internal disk drive

Dimensions: 8"W x 7.5"H x 11.5"D, Weight: 10.5 pounds.

The ComplianceVault Email Archiving & Retrieval Appliance Models 120 and 250 each have two data storage subsystems. The "compliance volume" (tape subsystem) is a SONY AIT-2 magnetic tape drive that uses removable WORM (write-once, read-many) tape cartridges, which are suitable for addressing the strict SEC requirements. The "random-access reference volume" (disk subsystem) is rewriteable magnetic disk storage used for quick search and display of messages, as well as access to email attachments. (Only one copy of each attachment is stored.) Models 120 and 250 include server, graphical user interface (GUI), hard disk drive, Sony AIT-2 WORM tape drive, Ethernet 10/100 networking, and 110/220 volt AC power.

Rackmount Models

Each model must be bundled with a Sony® AIT tape library:

- Model CV1U 250: 250 GB internal disk drive capacity
- Model CV1U 500: 500 GB internal disk drive capacity
- Model CV1U 800: 800 GB internal disk drive capacity

Dimensions: 16.9"W x 1.7"H x 23"D (fits in standard 19" rack), Weight: 24 pounds.

The 1U ComplianceVault models have the same functionality as the standalone models above, except they are rack-mountable and offer larger disk drive capacities. They do not have an AIT tape drive internally, but instead are designed to be bundled with a Sony® AIT WORM tape library, providing a more scalable solution for those customers requiring larger disk capacity and tape storage. (Sony AIT WORM tape cartridges are available from a variety of suppliers, including Intradyn.)

ABOUT INTRADYN INC.

Intradyn has developed a broad portfolio of data protection and preservation appliances and software. These products offer enterprise-class functionality at affordable prices for small and mid-sized businesses (SMBs). The company designs its products specifically to address the complexity and affordability issues that smaller businesses face as they grow, and the inadequate and unreliable entry-level backup solutions they may have in place today. The RocketVault™ appliance is an award-winning, disk-based, automated backup and recovery device that includes all software and hardware in a single, plug-and-play device. It is the first general-purpose appliance for SMBs to offer sophisticated archiving capabilities and the storage of encrypted files for both local and remote storage. Tens of thousands of small to mid-sized businesses worldwide rely on Intradyn's Back Again™ software to provide robust data protection and disaster recovery. It protects remote servers and workstations, as well as the leading email and database servers, Microsoft Exchange and SQL Server. It also offers a "bare metal" restore utility that completely restores a server or workstation in the event of data corruption or disk crash. It is scalable from the small business or home office user to large corporate customer. For more information, please visit <http://www.intradyn.com>.

Get Compliant Now—It's Easy! To find out how your firm can quickly become compliant to your industry's email retention regulations—with a remarkably simple, low-cost, all-in-one solution—contact us today.

“One of the most innovative products recently offered to SMBs is Intradyn's ComplianceVault.”

InfoWorld - July 9, 2004

INTRADYN IS PROUD TO BE REPRESENTED BY:



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Data Protection Made Simple

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