



# NYC Success Story

## A New York-based Brokerage Firm

### THE ORGANIZATION

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, acquisitions and related transactions of the past five years. In 2001, the firm expanded its operations by introducing a Corporate Restructuring Group. As a Securities and Exchange Commission (SEC)-regulated entity, this brokerage firm's primary goals are to comply with the various SEC regulations and to have an adequate disaster recovery plan with supporting hardware and software. In short, the brokerage firm needed a solution that would allow them 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 offsite. For internal use, including possible future lawsuits, 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."

### SOLUTION BASED APPLICATION: PLASMON G SERIES LIBRARIES WITH SUPPORTING SOFTWARE

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 Vault for Microsoft Exchange email archive software from KVS. The solution also provides the firm with a critical piece of its disaster recovery plan and email message audit trails, which are imperative during the discovery phase of lawsuits.

- **INDUSTRY:**  
Brokerage/Banking
- **APPLICATION:**  
Email Archive & Disaster Recovery
- **INTEGRATOR:**  
Digital Storage Solution
- **SOLUTION:**  
Plasmon G Series MO Libraries,  
QStar Data Director, KVS Enterprise  
Vault for Exchange

Brokerage Firm Creates an Email Archive solution and Implements a Vital Piece of its Disaster Recovery Plan on Plasmon Magneto Optical Libraries Efficient Storage Also Offers Improved Data Access

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## THE PROBLEM

The information contained in email messages is a major part of a corporation's intellectual property. The email messages between brokers, dealers, and their customers are an excellent example 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," states 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," states the firm's 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, 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," says the IT manager for the 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 3 TB 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 maximizes the accessibility of our data," continues 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."

The customer adds, "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," concludes the brokerage firm's IT manager.



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