VERITAS The truth in information.



Veritas Enterprise Vault™ Compliance Accelerator.

OVERVIEW

Today's regulatory climate has created new information management compliance challenges for organizations of all sizes. To compete, companies rely heavily on email. As the volume of regulated communication grows, so does the challenge of meeting compliance requirements.

DELIVER SIMPLIFIED, COST-EFFECTIVE RETENTION AND SUPERVISORY COMPLIANCE

Veritas Enterprise Vault™ Compliance Accelerator is a highly configurable add-on solution to Veritas Enterprise Vault™ that allows organizations to perform cost-effective supervisory review of regulated communications. Providing the framework to select and sample target email, instant messaging, social media, audio, and other similar communications, you can manage review by appropriate supervisors, and record the process for audit purposes. Compliance Accelerator helps to decrease the cost and effort of email supervision, review, and proof of compliance.

KEY BENEFITS

- Demonstrate commitment to compliance and best-practice governance
- Prepare your organization for Dodd-Frank compliance as the regulatory rules evolve
- Quickly find and present relevant content for proactive retention and response
- Reduce the administration load on reviewers, control end-to-end supervision of sensitive content, and help lower the cost of the content supervisory process
- Supervise non-regulated employee communication to maintain high corporate standards and policies
- Address increasing content retention and supervisory requirements from regulations such as SEC, FINRA, Sarbanes-Oxley, IIROC, ESMA, ESA, and SESC.

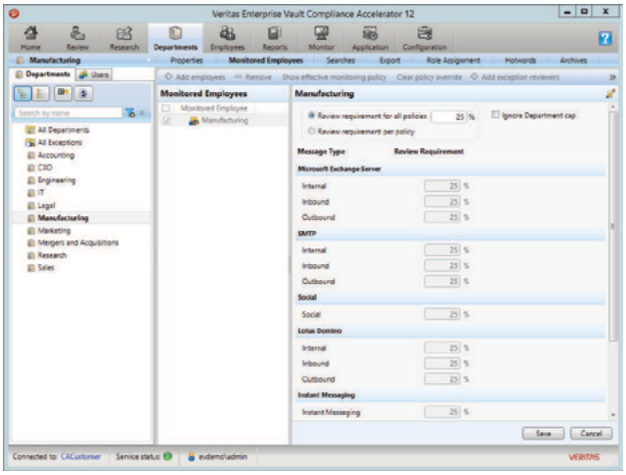


Figure 1. Set criteria to configure sampling rates and scope.

HOW IT WORKS

Superior content archiving

Working seamlessly with Microsoft® Exchange and IBM Domino® environments, instant messaging, and social media. Enterprise Vault will archive and index messages and store them in their original form (email and attachments) centrally—with no impact on or intervention by users.

Enhanced supervision, sampling, and review

Compliance Accelerator seamlessly extends Enterprise Vault functionality by allowing structured review processes to be

put in place to search, sample, and review email journal and other archived content according to compliance policies. The entire process is tracked and extensive reporting demonstrates adherence to corporate and regulatory compliance policies (for example, the SEC, FINRA (NASD/NYSE), and Dodd-Frank).

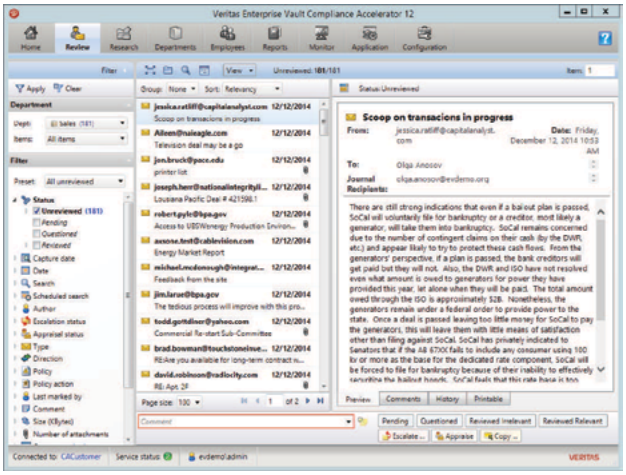


Figure 2. Intuitive user interface allows for easy and efficient mail review.

Step 1: Set scope of review

Quickly define your criteria:

- Internal or external email or instant messaging
- Filter out already reviewed items (optional)
- Date range
- Sender/recipient scope
- Specific text (words or phrases)
- Exclude specific text (for example, email disclaimers) from scope of search

Step 2: Apply email sampling rules

Customize to the legal department's or the compliance manager's needs:

- Sample all or per individual
- Percentage sample
- Minimum sample size applied

Example—Take a 5 percent sample of the mail between my group and group X over a specified period of time, with a minimum sample of two messages per person in my group. Be sure to exclude any searches of text in email disclaimers.

- Run search

Step 3: Review search results

Through a user friendly interface, reviewers are presented with email to review. The status of each email is tracked and where further action is required, it can be flagged against the original email.

All items start as "Unreviewed" and end as "Reviewed" or "Questioned." The reviewer can:

- Set "Pending" status while investigating
- Annotate reviewed messages
- Escalate messages where appropriate to senior Compliance supervisor
- Launch Microsoft Outlook® viewer to forward message
- Close review sample when all reviewed

Everything is recorded and reported.

Step 4: Log

Keep an audit trail of the whole process. Should disputes arise, it is easy and straightforward to investigate what happened if the administrator can demonstrate that the audit took place.

- System configuration
- System users
- Group configuration
- User activity (searching, reviewing)
- Audit trail of messages in review process

COMPLIANCE ACCELERATOR PRODUCT FUNCTIONALITY

- **Fully managed and audited**—Compliance supervision and review process
- **Easy to use**—User model is a set of audited groups (for example, dealer desks, branches), each with associated owner/reviewer doing regular reviewing
- **Highly flexible**—Potential targets could include all email,

instant messaging, social networks, audio archives, and other supported partner content

- **Effective sampling**—Selective searching and sampling to produce items for review
- **Custom search**—Manual or automatic searching/sampling with the ability to exclude blocks of text from search results (for example email disclaimers)
- **Rapid deployment**—Tightly integrated with Exchange and IBM Domino, easy to install, and transparent to users
- **Extension of Enterprise Vault**—Optimized storage and simplified management with eDiscovery workflow

PRIORITIZE REVIEW CONTENT BY CATEGORY

Applying context to archived content optimizes the compliance review process. For customers seeking more precision and efficiency managing information, Enterprise Vault offers Retention, unlocking innovative Classification, Re-Classification and Gated Deletion capabilities. New Classification can analyze all ingested content across email, files, SharePoint, Instant Messaging, Social Media and more. Automation and policy-based decision-making control tagging items for faster search, discovery or supervisory review, assign unique retention or discard. With Retention Plans, you specify which archives to classify. Over time, regulatory and business retention requirements can change—with re-Classification, use policies to reset retention on archived information, even at the item level. Finally, Gated Deletion can retest items set to expire in the archive against current rules prior to allowing expiration to proceed. Classification policies can be leveraged in Compliance Accelerator to facilitate more effective review as messages can be flagged for review by category. This helps ensure that review staff examine high-priority content versus irrelevant messages (for example, junk and bounce messages).

Intuitive, event-driven workflow and intelligent review

- Manage and rapidly review search results using relationships, lexicon matches, metadata, and classification policy matches to organize the review process
- Review and mark individual items or result sets using customizable marks
- Escalate individual items or result sets for further review by designated supervisors
- Export case information and reviewed content to your eDiscovery solution of choice, including Enterprise Vault Discovery Accelerator and Veritas™ eDiscovery Platform

INTELLIGENT REVIEW

As organizations grow and archive more content, the task of supervision becomes an increasing challenge. Supervision reviewers struggle to provide effective surveillance of sensitive activities within their organization. Reviewers typically receive a daily "deluge" of sampled or search content with an expectation that regardless of the quality, they must sift through the day's

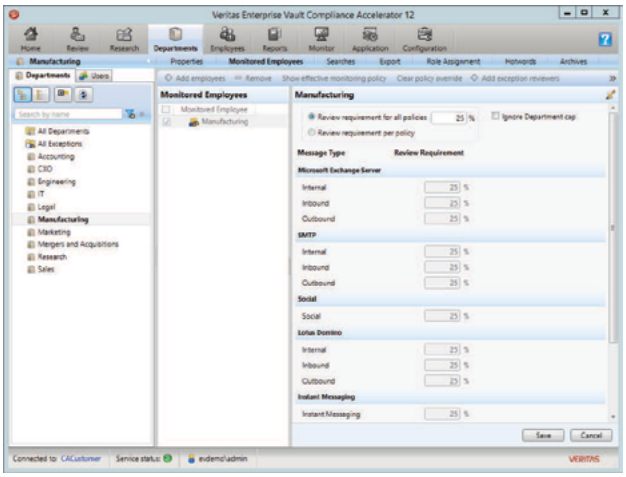


Figure 3. Increase reviewer efficiency with Intelligent Review.

required review set. Organizations have relied on pre-established content classification rules that serve a very specific role in the supervision process. Content can be escalated into review, noted for the reviewer's information or eliminated entirely from the review process based on policy-based evaluation.

While matching of specific content is an important first step in reducing the amount of content reviewers are tasked with evaluating, it leaves a very important resource out of the evaluation process. Intelligent Review leverages your most important asset, the trained eyes of your reviewers. As the review process continues normally, Compliance Accelerator now analyzes the judgments of the reviewer and learns from their behavior. A machine-learning engine evaluates the relationships of those under review, continuously learning and prioritizing relevant content for the reviewer. Now, for the first time, Intelligent Review will enable reviewers to easily and efficiently review high quality, high-risk content first and proactively eliminate non-relevant conversations from their review process.

ACCELERATOR OPEN REPORTING

Providing validation of compliance processes is key to any compliance or supervision strategy. Compliance Accelerator has always offered sample reports to establish a baseline for organizations. Once started, however, organizations are often presented with additional use cases that they must fulfill for their particular industry. The Accelerator Open Reporting feature enables you to gather specific data elements from a standard Open Data Protocol (OData) interface. Your reporting tool of choice can now extract vital supervision data from Compliance Accelerator with ease, helping you to define what is relevant for your data analysis. From basic tools such as standard spreadsheet applications to advanced business intelligence and dashboard tools, OData provides an open and flexible interface to your most critical validation data.

GENERAL SYSTEM REQUIREMENTS

For compatibility information for your system environment please refer to the compatibility guide at

http://www.veritas.com/docs/000097605

Storage options

Enterprise Vault allows customers to leverage existing storage platforms or implement more cost-effective storage specifically designed for archiving and long-term data retention. Storage options include:

- Direct Attached Storage (DAS) or Storage Area Network (SAN), recommended for index storage
- SAN or Network Attached Storage (NAS)
- WORM devices and content addressable storage (CAS)
- DVD/Optical/Tape (using Veritas™ NetBackup)

For a complete list of requirements, please visit

http://www.veritas.com/docs/000097605

ABOUT VERITAS TECHNOLOGIES LLC

Veritas Technologies empowers businesses of all sizes to discover the truth in information—their most important digital asset. Using the Veritas platform, customers can accelerate their digital transformation and solve pressing IT and business challenges including multi-cloud data management, data protection, storage optimization, compliance readiness and workload portability—with no cloud vendor lock-in. Eighty-six percent of Fortune 500 companies rely on Veritas today to reveal data insights that drive competitive advantage. Learn more at **www.veritas.com** or follow us on Twitter at **@veritastechllc**.

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