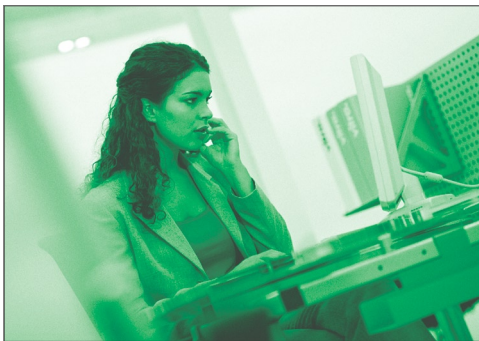


## IBM Content Management for Message Monitoring and Retention

### Highlights

- ***Captures e-mails, attachments and instant messages in real time***
- ***Provides flexible message capture including optional pre-delivery quarantine and review based on company policies***
- ***Stores and manages index data and content securely, enabling full-text search and retrieval***
- ***Features advanced content analysis capabilities to identify suspect information and automatically classify e-mails***
- ***Enforces formal retention periods and destruction rules***



*IBM Content Management for Message Monitoring and Retention helps businesses address stringent regulatory requirements through its market-leading content management tools, surveillance and content analysis technology, and general mailbox management capabilities.*

### Minimizing risk through comprehensive information retention

Business executives are struggling to retain and manage an expanding volume of electronic communications. Meanwhile, IT staffs are challenged to help them comply with strict recordkeeping policies while keeping associated operational costs down.

To avoid fines or other penalties from non-compliance, businesses must first determine which correspondence to keep. Then they must establish policies and tools for secure, long-term archival of the material they'll retain, along with audit trails for retrieval and disposition. Businesses must also ensure that authorized users can get immediate access to the archived materials.

The e-mail and backup systems common today are inadequate to address the message management challenges that many companies face. Typically, organizations need four core capabilities to handle these issues and meet the needs of end users, legal compliance officers, risk management professionals, executives and boards of directors. The four capabilities are mail storage management, discovery, corporate and regulatory compliance, and storage retention management.

IBM and IBM Business Partner iLumin™ Software Services, Inc. have developed an integrated solution, IBM Content Management for Message Monitoring and Retention, to meet the archival/retention needs of a variety of regulated industries. Comprised of software components from IBM and iLumin, the Content Management for Message Monitoring and Retention solution captures and duplicates all specified incoming and outgoing correspondence, e-mails, attachments and instant messages. The solution then applies time-based retention and destruction rules to this correspondence, enabling businesses to easily comply with strict regulations. Compliance officers and other supervisors can easily search the content online, at any time, for in-depth analysis of specific communications.

The IBM and iLumin solution is unmatched in the industry, offering unique natural language content analysis, pre- and post-review processing, quarantine management and integrated records management capabilities.

## **Enabling automatic capture and management of critical business communications**

### **Addressing key regulatory rules head on**

As an example of an industry faced with prominent regulatory rules, consider the financial industry, which must address:

- *Securities and Exchange Commission rule 17a-4, which covers the capture, storage and auditing of business communications, including trade blotters, customer account ledgers and securities records. The rule specifies the manner and length of time that records need to be preserved in order to comply with securities laws, anti-fraud provisions and financial responsibility standards.*
- *National Association of Securities Dealers rule 3010/3110, which applies to supervisory policies and procedures regarding records retention and recordkeeping. The rule calls for monitoring and testing to confirm that such policies are being followed, and specifies a minimum frequency and type of supervisory reviews.*

Robust and comprehensive, Content Management for Message Monitoring and Retention helps you comply with these rules by integrating leading-edge content management and content analysis technologies with highly scalable archive, search and retrieval tools. The software solution:

- *Automatically captures e-mails and attachments in real time, and also captures instant message conversations. Flexible alternatives available for capturing e-mail include simple mail transfer protocol (SMTP) intercept for inbound and outbound messages, journaling for inbound, outbound and internal messages, and a capability to block internal messages and log any attempted transactions (made possible by Assentor MailWall from iLumin).*
- *Stores index data and content securely in non-erasable, non-rewriteable format and in duplicate (at a different geographical location, for disaster recovery purposes).*
- *Enforces formal retention periods and destruction rules on all stored content and indexes.*
- *Enables full-text search, analysis, classification and production of all stored content and indexes using more than 3,000 predefined lexicons, to support surveillance and investigations.*

- *Provides full supervisory access to system data, indexes and activities.*
- *Records detailed audits of all correspondence and mandated surveillance activities.*

With these powerful capabilities, businesses will have a reliable, efficient and flexible means to capture billions of items and support any number of users. Users can query across the entire information archive, generating robust results sets and sharing their search results. In the long-term, the solution's resilient infrastructure can help companies lower their data storage costs by reducing the burden on enterprise mail servers.

Content Management for Message Monitoring and Retention intelligently scans the contents of e-mails, attachments and instant messages, identifying and quarantining questionable messages. The solution is also capable of blocking such communications from leaving the corporate mail flow. And, the solution provides the ability to set retention and purge policies per internal or regulatory requirements.

### **IBM and iLumin: a powerful synergy**

Content Management for Message Monitoring and Retention delivers the best from IBM, a leader in enterprise content management solutions, and iLumin, a leader in intelligent content solutions for commercial industry and government organizations. IBM engineering makes the solution scalable and reliable, and able to store, manage and retain the content. The solution also provides the ability to control the messaging system's volume growth, providing a single solution for managing storage requirements. IBM components in the solution include IBM DB2® CommonStore for Message Retention, which consists of IBM DB2 Content Manager for storage, indexing and management of correspondence, as well as access control; IBM Tivoli® Storage Manager for total storage management and IBM DB2 CommonStore for mailbox volume growth management and end-user archive and access capabilities.

iLumin brings to the solution its world-class capabilities for agnostic message capture, regulatory compliance and corporate supervision, discovery and litigation support through its Assentor Enterprise suite. The iLumin components include Assentor Message Manager, which processes messages for storage in DB2 Content Manager by providing capture, decomposition, conversion to text, content analysis and smart indexing functionality; Assentor Compliance, which leverages DB2 Content Manager to implement message inspection and supervision workflow; and Assentor Discovery, which provides a legal department with the capability to refine its response to civil, criminal and regulatory requests—allowing it to produce only what is legally required—thereby helping produce successful litigation and regulatory outcomes.

### **Extensible to latest regulatory rules**

Further extending its value, the Content Management for Message Monitoring and Retention Solution can be leveraged to meet some of the newest data retention requirements, such as Section 802 of the Sarbanes-Oxley Act of 2002, the public company accounting reform and investor protection act, as well as New York Stock Exchange Rule 342, the Federal Energy Regulatory Commission standards, the Health Insurance Portability and Accountability Act, and the U.S. Patriot Act.

For help deploying the comprehensive solution, companies can turn to IBM Business Consulting Services. Backed by a worldwide presence, IBM Business Consulting Services provides project managers, business and IT analysts, change management consultants and subject matter experts who can help integrate the solution into any environment. With their support, companies can focus on their core competencies.

More than ever, businesses of all sizes in a host of industries are under the microscope of regulatory agencies as well as the public. With IBM Content Management for Message Monitoring and Retention, companies can easily demonstrate that they're accountable for their actions by meeting the toughest information retention and disposition rules established in their industries.

### **For more information**

Please contact your IBM marketing representative or IBM Business Partner, or call 1-800 IBM CALL within the U.S. Also, visit our Web site at: [ibm.com/software/data/cm/solutions\\_compliance.html](http://ibm.com/software/data/cm/solutions_compliance.html)

For information about iLumin, please visit [www.iLumin.com](http://www.iLumin.com).



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