

# Securities Compliance

## Veritas and Globanet Solutions Reduce the Cost and Effort of Compliance

As the types and sources of financial content grow, so do the regulatory requirements associated with managing that content. Veritas's and Globanet's compliance solutions help financial organizations satisfy SEC and FINRA requirements by enabling the collection, retention and retrieval of records from multiple content sources, including financial and trading platforms and social media.

## Archive, Retain and Access Records with Enterprise Vault and Enterprise Vault.cloud (SEC 17a-4)

Veritas Enterprise Vault is an intelligent archiving platform used to store, manage and access records from file servers, email systems, IM platforms, content management systems, social media and other content sources. Highly configurable, Enterprise Vault utilizes intelligent classification and retention technologies to capture and categorize records in accordance with corporate policies. It also provides specialized add-on modules to mine archived data in support of compliance efforts.

Enterprise Vault.cloud provides customers with an off-premise solution for archiving, retaining and accessing records. Data is stored on WORM media in a centralized repository, where it can be searched and reviewed for compliance. Enterprise Vault.cloud offers specialized modules for collecting web content and enabling supervision workflow for compliance professionals to quickly review, approve, reject and reassign dynamic and static content.

## Enable Supervision of Email Communications Using Compliance Accelerator (NASD 3010)

Veritas Compliance Accelerator is a customizable add-on solution to Enterprise Vault that allows organizations to perform cost-effective supervisory review of broker-dealer email to ensure compliance with NASD 3010. This module provides the framework to select and sample email, manage the review process across multiple reviewers and record the process for audit purposes. Compliance Accelerator decreases the cost and effort of email supervision, review and compliance demonstration.

## **Satisfy The Designated Third Party Requirement [SEC 17a-4(f)(3)]**

SEC Rule 17a-4 requires members, brokers or dealers to designate a third party to access and deliver financial records to a requesting regulatory agency. Financial institutions that prefer to retain and house their own data must engage a dependable, independent third party with technical knowledge and experience to carry out its duties under this requirement. Globanet has been providing D3P services since 2003 and currently serves as the Designated Third Party for several of the largest financial institutions in the United States.

## **Capture Content from Financial Systems and Social Media with Merge1 (SEC 17a-4, NASD 3110)**

Globanet Merge1 reduces compliance risk and cost by capturing a wide variety of communication types from multiple content sources, including financial platforms and social media. Merge1 can be used to parse and ingest data into an email platform or existing archive, like Enterprise Vault or Enterprise Vault.cloud, for retention and review. Flexible filtering and export options allow administrators to target and retain only the requisite data, reducing the volume of existing repositories. Merge1 currently supports direct push to Veritas Enterprise Vault and Enterprise Vault.cloud.

## **Capture and Archive Public-Facing Web Content (SEC 17a-4 and NASD 3110)**

In Regulatory Notices 10-06 and 11-39, FINRA provides detailed guidance on website and social media communications. Both publicly available websites and static content on social media sites are deemed advertisements and are subject to the recordkeeping requirements of SEC Rule 17a-4 and NASD 3110. Globanet's web archiving solution can capture and archive dynamic content, including websites, blogs, intranet sites, wikis and social media. This data is captured and maintained in its native format and can be organized and searched for quick access.

## **Migrate Data Between Repositories While Maintaining Authenticity**

Globanet's migration tools and services enable organizations to move large volumes of data between different archive solutions while maintaining and confirming data authenticity. Using cryptographic hashing during migrations ensures that both content and metadata remain unchanged throughout the migration process. In addition, Globanet provides detailed reporting, so administrators and compliance officers can be sure that organizational data is migrated without being compromised.



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Globanet is a leading developer and reseller of archiving, data migration and eDiscovery solutions worldwide. Founded in 1996, the company is a pioneer of intelligent information governance, and has developed a portfolio of software and services to help organizations manage data from creation to expiry. Globanet's proprietary solutions include the Globanet Merge1 message capture platform and Globanet Migrate data migration software. A Veritas Platinum Partner with Master Specialization in Archiving and eDiscovery, its professional services team has extensive experience with industry-leading Enterprise Vault and Clearwell. Globanet is also a proud Microsoft Silver Software Development Partner. Globanet's broad range of services include policy and solution design, installation and configuration, data migration, custom add-ons and project-based eDiscovery consulting.

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