



# Mimosa NearPoint™ Compliance Storage Option

*“The integration between EMC Centera and Mimosa NearPoint benefits joint customers who are deploying email archiving solutions for compliance by unlocking the value of fixed content, while lowering costs and making it easier to manage and share this information.”*

— Roy Sanford, EMC Vice President  
Content Addressed Storage

## NearPoint Compliance Storage Options Benefits:

- Satisfies SEC Rule 17a-4 and other compliance regulations for email archiving.
- Verifies accuracy of archive data is against “tamperproof” copy for adherence to strict compliance rules and delivery of accurate search results.
- Reduces management costs with automated archiving, verification and disposition capabilities.

### Automated, Secure Archiving for Compliance and Corporate Governance

Highly regulated industries such as financial services and healthcare, must archive all email records on tamper-resistant media, and allow secure access to records for search and discovery. Mimosa NearPoint for Microsoft® Exchange Server Compliance Storage Options extends the storage capabilities of Mimosa NearPoint to 3rd-party CAS (Content Addressable Storage) and WORM (Write Once, Read Many) storage devices. The NearPoint Compliance Storage Option supports record level retention and disposition of email and attachments on CAS and WORM media for organizations in the financial services industry who must adhere to SEC Rule 17a-4 and to other organizations that would benefit from the added protection of CAS and WORM media provides.

### The Solution

Using Mimosa NearPoint, Administrators define Compliance Storage policies which associate archived mailboxes to Compliance Storage devices. According to a defined schedule, all Compliance Storage associated mailbox content is copied from NearPoint to the Compliance Storage device. NearPoint Retention and Disposition policies, which are defined per mailbox, are automatically managed across all content residing on Compliance Storage and NearPoint’s archive. Complete mailbox contents, as well as content archived from PST files, are automatically archived to the Compliance Storage device based on flexible administrative schedules and frequencies.

Non-repudiation, tamper detection and notification are built into Mimosa NearPoint as added protection for all archive data. During the Compliance Storage archiving process, NearPoint verifies the content of each message by comparing its current hash information with hash information stored when the content is initially archived. NearPoint commits each complete message (header body, attachment and metadata) efficiently to the Compliance Storage device, leveraging any existing single-instance storage architecture, and using the smallest possible number of CAS objects. The disposition date for each message is set at the storage device level, as defined by the NearPoint Mailbox Retention Policy period; a mailboxes’ retention and disposition policy can only extended, not reduced.

For users and auditors, searching, retrieving and restoring of messages and objects archived to Compliance Storage remains seamless and high performance. Full NearPoint functionality remains for any content committed to Compliance Storage, including Quick Search, Advanced Search, Mailbox Extension, Self-Service Access™ and PST Archiving. Users and auditors enjoy full access to message data stored in the NearPoint archive for fast searches without encumbering the Compliance Storage device.

To verify the contents of the archive data, a NearPoint Verification job can be run manually or regularly scheduled. It is invoked for all Compliance Storage associated mailboxes or for individual mailboxes. If message content in the NearPoint archive does not match the Compliance Storage device, NearPoint will automatically replace the NearPoint archive message with the copy from the Compliance Storage device.

#### SEC 17a-4 rules for Broker-Dealers:

Broker-dealers must make and keep current books and records detailing, among other things, securities transactions, money balances, and securities positions. They also must keep records for required periods and furnish copies of those records to the SEC on request. These records include e-mail.

#### SEC 17a-4 Rules for CAS and WORM Technology

A broker-dealer would not violate the requirement in paragraph (f)(2)(ii)(A) of the rule if it used an electronic storage system that prevents the overwriting, erasing or otherwise altering of a record during its required retention period through the use of integrated hardware and software control codes. Rule 17a-4 requires broker-dealers to retain records for specified lengths of time.

