

AXS-ONE COMPLIANCE PLATFORM™

OVERVIEW

Protect and utilize corporate information as an asset while reducing operational bottlenecks and potential liabilities with the AXS-One Compliance Platform --a policy driven, high volume, archival solution for electronic messages. It automatically moves e-mail and attachments from the e-mail servers to a managed, robust archive reducing the storage and server infrastructure and associated support costs inherent in managing an e-mail system. Instant messages are also added to the archive, providing a knowledge pool for retrieving them in context to the e-mail and other records stored there. The archive ensures that e-mail and instant messaging content is permanently stored conforming to regulatory requirements and subject to information lifecycle management policies.

The AXS-One Compliance Platform efficiently combines unstructured, semi-structured and structured disparate data into a unified data archive structure simplifying the manner in which companies in regulated and non-regulated industries deal with e-mail at the IT infrastructure level as well as the compliance and oversight level. It presents that content with supporting contextual information within a robust application framework.

The AXS-One Compliance Platform provides a policy driven storage and archival management system that is configurable across many data types, media and devices--creating flexible options for distributed environments. It easily conforms to corporate technology standards with its support for multiple e-mail and instant messaging formats and an implementation that is web based.

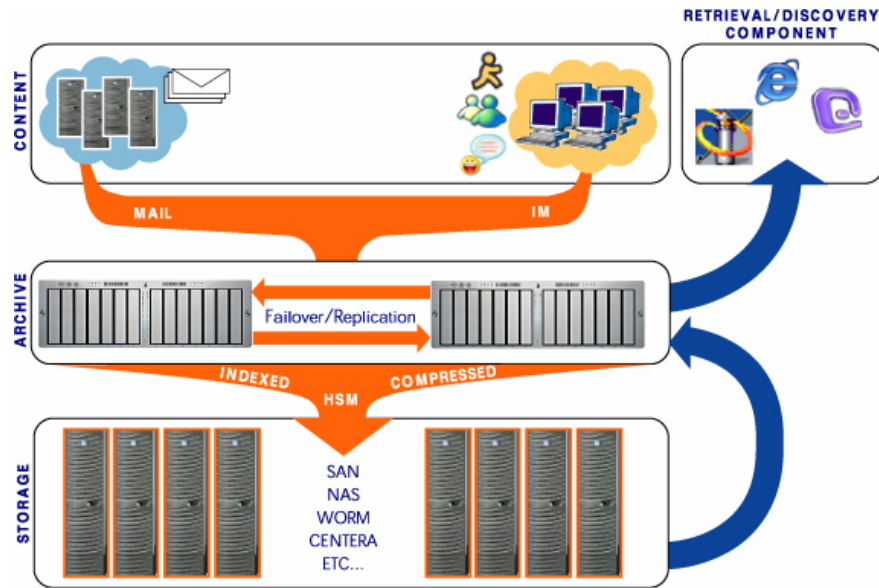
For businesses operating in regulated industries, the AXS-One Compliance Platform supports well known policies governing storage and retrieval standards for legal compliance with respect to e-mail, instant messaging, and other contextual information such as statements and trade confirms.

It meets the requirements stipulated by regulatory agencies and rules including:

- ▶ SEC CFR Part 240 17a-3 and 17a-4
- ▶ FDA Title 21 Part 11
- ▶ Telecommunications CFR Title 47 Part 42
- ▶ UK: Financial Services Authority
- ▶ France: Commission des Operations de Bourse
- ▶ Australia: National Archives of Australia

The AXS-One Compliance Platform is built on our industry leading compliant archive and retrieval technologies that has enabled AXS-One to be widely used in the financial industry as the solution of choice for preserving and managing company communication and transaction records for over 15 years.

ARCHITECTURE OVERVIEW



AXS-One three tier architecture

HIGHLIGHTS

Enforce Established Standards

Establishes and implements policies governing the electronic messaging environment including archival, review and retention standards, heterogeneous storage platforms, and information lifecycle management through permanent destruction or offline storage. The archival process is in full regulatory compliance.

Secure Data Lifecycle Management

Protects the archive against all unauthorized access. Provides full audit logs. Prevents administrators from tampering with archived records. Protects messages from the time they are captured until they can be legally deleted. Automatically archives e-mail, attachments and instant messages for as long as regulations or corporate policy require. Restricts viewing and searching to authorized personnel.

Cost-effective Storage

Stores archived data across a serialized heterogeneous hierarchal storage infrastructure (DAS, SAN, NAS, Optical, Tape) including compliant media storage utilizing WORM technologies. Direct integration with leading storage solutions from EMC Centera and Network Appliance allowing for cost effective storage throughout the information lifecycle of the data while providing continual online access and deep archival through permanent destruction across all data storage needs.

Retrieval

Provides access to archive via Notes and Exchange mail clients and standard HTML browser access. Displays messages and attachments in original formats.



Search

Supports indexed searches through all message header fields, date range filters, full-text searching across message body and over 250 attachment types including PDF files. Provides sophisticated variant spelling and stemming-based searching of all data in the archive—including messages and attachments.

Scalability

Enterprise scalability for global organizations requirements. Support for multiple operating systems and hardware platforms. Currently utilized in world-wide organizations supporting multiple terabytes under-management.

Straightforward Integration and Implementation

Requires no programming for implementation of software and system policies.

FEATURES

Storage

- ▶ Can be configured to archive all or selected mailboxes
- ▶ Can be configured to archive based on timed frequencies to specific criteria
- ▶ Archives all messages and attachments in original electronic format
- ▶ Irrefutable capture of all internal and external emails, automatically archiving all e-mail and attachments before they are delivered to a user's inbox
- ▶ Conserves storage space by using compression and removing of duplicate content
- ▶ Stores messages with different retention periods on separate physical media
- ▶ Automatically deletes expired items and provides a report of items deleted
- ▶ Information Management Lifecycle migrations of data
- ▶ Permits extension of expiration date to indefinitely delay message destruction

Indexing

- ▶ Supports full-text indexing for both messages and attachments including over 250 file types plus multi-language support
- ▶ Supports groups and distribution lists
- ▶ Indexes standard message fields including From, To, Date and Subject

Search

- ▶ Restricts access according to authorization levels defined by an administrator
- ▶ Provides the ability to search across multiple mailboxes
- ▶ Provides the ability to create single or multiple sender and recipient queries
- ▶ Provides the ability to search across all data in the archive in a single query
- ▶ Supports field, date range, full-text, variant spelling and stemming-based search for keyword and phrases

Retrieval

- ▶ Graphically maps relationships between initial message and follow-up replies
- ▶ Displays, prints or downloads search results to XML, Excel and other formats
- ▶ Highlights text in messages; identifies attachments that match the search criteria
- ▶ Displays messages and attachments in native format



Compliance

- ▶ Preserves content in non-rewritable, non-erasable format
- ▶ Automatically verifies the quality and accuracy of the archiving process
- ▶ Generates an audit log of the archiving process and user access
- ▶ Captures all internal and external communications
- ▶ Protects against unauthorized access
- ▶ Establishes user-defined organizational access hierarchy
- ▶ Establishes compliance department defined organization access tree for surveillance and review functions
- ▶ Legal Discovery process creates compliance 'packages' for review and distribution

Integration

- ▶ Integrates with your enterprise mail servers' environment and supports High Availability and Disaster Recovery architectures
- ▶ Operates in Microsoft Windows and UNIX platforms
- ▶ Supports heterogeneous storage environments--including Content Address storage systems (EMC and Network Appliance); WORM Media (tape, CD/DVD, magneto-optical); Hierarchical Storage Management; online, near-line, off-line
- ▶ Open integration into other systems through Web Services
- ▶ Operates in Microsoft Windows and UNIX platforms
- ▶ Integrates with Lotus Notes and Microsoft Exchange servers as well as standard UNIX, SMTP and POP3 servers, and Bloomberg Mail
- ▶ Instant Message archiving, capture and review for AOL, MSN, Yahoo, Reuters, Sametime, etc.

Administration

- ▶ Permits the mapping of logical volumes to physical media
- ▶ Authorizes users to search multiple mailboxes and document types
- ▶ Provides a server driven policy process that is controlled by IT staff, transparent to the end-users and requires no desktop software installations
- ▶ Sets retention policies per individual or group with complete security control based on organization or compliance access rights

Supported Platforms

E-mail/IM Management Server

- ▶ Sun Solaris
- ▶ Windows 2000
- ▶ Sun Solaris
- ▶ HP/UX

E-mail/IM Management Client

- ▶ Microsoft Windows 98, 2000, XP
- ▶ Netscape Navigator
- ▶ Microsoft Internet Explorer

ABOUT AXS-ONE

AXS-One is a leading provider of Records Compliance Management solutions. The AXS-One Compliance Platform™ enables organizations to implement secure, scalable and enforceable policies that address records management for corporate governance, legal discovery and industry regulations such as SEC17a-4, NASD 3010, Sarbanes-Oxley, HIPAA, The Patriot Act and Gramm-Leach Bliley. AXS-One's technology has been critically acclaimed as best of class and delivers digital archiving, business process management, electronic document delivery and integrated records disposition and discovery for e-mail, instant messaging, images, SAP and other corporate records.

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