**global**RELAY®

# Services Guide

## CLOUD-BASED ARCHIVING & MESSAGING FOR COMPLIANCE

Comprehensive Guide to Global Relay Hosted Services

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## Also Available from Global Relay

The Global Relay Compliance Solutions Guidebooks are companion pieces to this Services Guide and a valuable reference for firms in regulated industries.

Written specifically for a variety of industries and firm types, the Compliance Solutions Guidebooks enumerate each rule and law applicable to firms in connection with email and other electronic message types. They also explain exactly how Global Relay services enable businesses to comply with each individual requirement.

  ○ Broker-Dealers

  ○ SEC Registered Firms (Investment Advisors, Hedge Funds, Private Equity Funds)

  ○ CFTC Regulated Firms

  ○ FCA (UK) Regulated Firms

  ○ Canadian Financial Firms (IIROC & MFDA)

  ○ Health Care (HIPAA)

  ○ Public Companies (Sarbanes-Oxley)

  ○ Enterprises

The Compliance Solutions Guidebooks are available at www.globalrelay.com/about-us/resources or by contacting Global Relay at 866.484.6630

# About Global Relay

## The Leader in Archiving and Messaging for Compliance

Global Relay is the world's leading provider of cloud-based archiving and messaging services. We design and develop cutting-edge technology that is disrupting traditional thinking about how to manage big data and driving new possibilities for organizations to benefit from the cloud.

Since 1999, Global Relay has assisted more than 20,000 firms worldwide to comply with regulatory requirements. Our technologies have become worldwide benchmarks for quality in the retention, protection and management of electronic business records. We were named a "Leader" in Gartner's 2015 Magic Quadrant for Enterprise Information Archiving[1].  We are also renowned for customer service; we provide a dedicated Legal & Compliance team, comprehensive Audit & Discovery services and 24x7x365 technical support.

Global Relay is a privately-held, profitable, financially sound corporation with rapid growth year after year. As an independent company that has never taken on venture or outside funding, we can continue making massive long-term investments in our infrastructure, our team and our technology – ultimately benefitting our customers.

## Leader in Financial Sector Compliance

Global Relay is the dominant provider of message archiving services to the financial world. Our long-term vision is to provide world-class cloud-based solutions that help financial companies compete and grow. Our customers include 55% of FINRA® broker-dealers, 70% of SEC-registered hedge funds, investment advisors, private equity funds, and 22 of the world's top 25 banks. We serve financial service firms worldwide that are regulated by the SEC, FINRA, CFTC, IIROC (Canada), FCA (UK), and many others. We also work with the hedge funds of many prime brokerages such as Goldman Sachs, UBS, JP Morgan, Morgan Stanley and Credit Suisse.

## A Global Presence

Global Relay serves the financial community with a global infrastructure. With offices in New York, Chicago, London, Singapore, Vancouver, Raleigh and Halifax, we have customers in more than 90 countries. We provide 24x7x365 technical support to assist customers in any time zone worldwide.

For customers with international or global operations, Global Relay is experienced at providing guidance in matters of international regulatory compliance, data protection and privacy issues, and the transfer of data across international boundaries.

Global Relay has the strongest language capabilities of any archiving vendor. Our Archive interface is currently available in 8 languages. With a strong client base in Asia, Global Relay Archive provides advanced indexing and search capabilities for foreign character sets, including double-byte characters (such as Chinese and Japanese).

**FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc.**

[1] "Gartner, Magic Quadrant for Enterprise Information Archiving 2015", by Alan Dayley, Garth Landers & Anthony Kros, October 29, 2015. Gartner does not endorse any vendor, product or service depicted in its research publications, and does not advise technology users to select only those vendors with the highest ratings. Gartner research publications consist of the opinions of Gartner's research organization and should not be construed as statements of fact. Gartner disclaims all warranties, expressed or implied, with respect to this research, including any warranties of merchantability or fitness for a particular purpose.

## Management Team

Global Relay's leadership team combines the technical, legal, service, business knowledge, and experience required to deliver the world's best archiving, messaging and collaboration solutions. The company was founded in 1999 by myself, Duff Reid, Eric Parusel and Shannon Rogers. All four founding members still drive our vision, strategy and operations today. As Global Relay has grown, we have attracted senior people from Thomson Reuters, IBM, HP, Nortel, Bloomberg®, UBS, Barclays and many others – deepening our unparalleled expertise.

## Mobile-First Strategy

The world is going mobile. Global Relay understands that businesses are moving away from traditional software distribution models in favor of cloud-based, on-demand applications that maximize personal and corporate mobile devices. Our services are synchronized across desktop and mobile devices, while retaining enterprise-grade security and functionality. As well, Global Relay Mobile Device Management for Compliance, an in-house developed archiving, supervision and eDiscovery solution for smartphones, enables customers to benefit from BYOD (Bring Your Own Device) policies – what Gartner Research calls "the most radical shift in enterprise client computing since the introduction of the PC".

## Building for the Future

Global Relay's product vision and direction is based on two core services that operate out of private green data centers:

Global Relay Message – Global Relay Message is a cloud-based enterprise messaging and unified collaboration platform designed to redefine communication in the financial industry. With compliance, archiving and mobility at its platform core, and an integrated global Directory to unify the global financial community, Global Relay Message provides you with groundbreaking tools to connect your employees, simplify your infrastructure, and reduce costs, all while staying compliant. Users can seamlessly access the service and transition from desktop to mobile devices at work, at home, or while on the move. Designed in-house by Global Relay's team of 200+ developers, Global Relay Message has moved beyond instant messaging and email, providing your company with a world class communication platform.

Next Generation of Global Relay Archive – We have spent four years and millions of dollars redesigning and rebuilding the core of our Archiving technology for the large enterprise customer. Through our massive R&D efforts, we have cracked the code on scalability to enable a single searchable repository for up to 400,000 users. This, in addition to extensive message archiving, compliance, eDiscovery, privacy, reconciliation and security features, is crucial to meeting the needs of the world's largest banks and financial institutions.

Green Data Centers – Customers need to know exactly where their data is stored. As part of our long-term vision to become your company's partner in messaging and archiving, we have designed and developed a state-of-the-art SOC2 audited data center that is fully owned and operated by Global Relay and operates with a zero carbon footprint. With the development of this data center, we now own, manage and control our entire technology stack – including end-user applications, software, hardware and servers. We are also in the process of designing a second private mirrored data center.

## Let Us Show You Why We Are Unique

Call Global Relay at 866.484.6630 or visit us at www.globalrelay.com, and let us demonstrate how our best-of-class solutions will make the difference in winning you as customer.

Yours Truly,

Warren Roy
CEO and Founder, Global Relay

# At-A-Glance

## Global Relay Archive

Securely captures and preserves email, public instant messaging, mobile messaging, Bloomberg®, Thomson Reuters, Microsoft Lync/Skype for Business/OCS, Pivot, ICE Chat (formerly YellowJacket), social media (LinkedIn, LinkedIn Sales Navigator, Twitter, Facebook, Google+, Instagram and YouTube), Chatter, Yammer, Jive and more.

## Compliance Reviewer

Complete message supervisory system that is configured to enforce and monitor your supervisory policies and procedures.

## Audit and eDiscovery

Solutions are readily accessible within Global Relay Archive, providing efficient online tools for collaboration, case management and responses to legal data requests.

## Global Relay Search

Provides users with 24/7 "anywhere access" to archived data via BlackBerry, iPhone, iPad, Android, Outlook and the web.

## Global Relay Message

Global Relay's flagship messaging and unified collaboration communications service, designed to address the messaging, federation, compliance, privacy and security needs of firms in regulated industries. Global Relay Message is currently in Beta.

## Global Relay services are presented in three "pillars":

### message

- **Global Relay Message**[1]
  Secure, fully compliant messaging platform

- **Email Services**
  Secure email with spam and virus filtering, shared calendars and contacts

- **Message Hub**
  Federate your Microsoft OCS/Lync with Thomson Reuters Messaging

### archive

In-house, Hosted Exchange, Zimbra, Notes, Google Apps and more

BlackBerry · Android · aim · THOMSON REUTERS · ice · BLOOMBERG® · pivot · slack · chatter · yammer · Instagram · You Tube · jive · CISCO JABBER · G+ · Linked in · twitter · web · facebook · Lync

### search

- Access messages anytime, anywhere

- Search across all message types

- Easily Reply, Reply All, Forward and Recover messages

- SAML enabled

1. Global Relay Message is our messaging and collaboration platform for the financial community. In Beta - available soon.

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# Stay Compliant and in Control

Global Relay Archive is an archiving and monitoring solution that seamlessly integrates with email and other types of electronic messages — delivering superior capabilities for message search, retrieval and compliance review. This enterprise-class cloud-based message archiving solution addresses the demands of regulatory compliance, audits and eDiscovery while also assisting with data management, storage, security and business continuity.

## Capture and Access Electronic Messages

A single repository for every message. Global Relay Archive captures your firm's email, instant messages, mobile messaging, Bloomberg®, Thomson Reuters, LinkedIn, Twitter, Facebook and more.

Global Relay Archive creates an auditable, permanent, evidentiary-quality copy of each message — which is then indexed, serialized and time-date stamped. This process securely organizes and preserves your intellectual business assets, reducing the risks that often result from poorly managed, lost or deleted messages.

All messages are securely archived in Global Relay's mirrored east/west coast SOC-audited data centers, providing unlimited online storage for the long-term preservation, management and search of messages. Global Relay's proprietary search engine technology enables any message to be retrieved in seconds, regardless of its size or age.

Access is made easy through Global Relay Archive's intuitive user interface, mobile search apps and plug-in for Microsoft Outlook. Compliance personnel, employees, managers/HR and administrators can access the Archive from any location — whether in the office, home or traveling. Users are always able to access a permanent record of their current and historical messages, even if the original has been deleted.
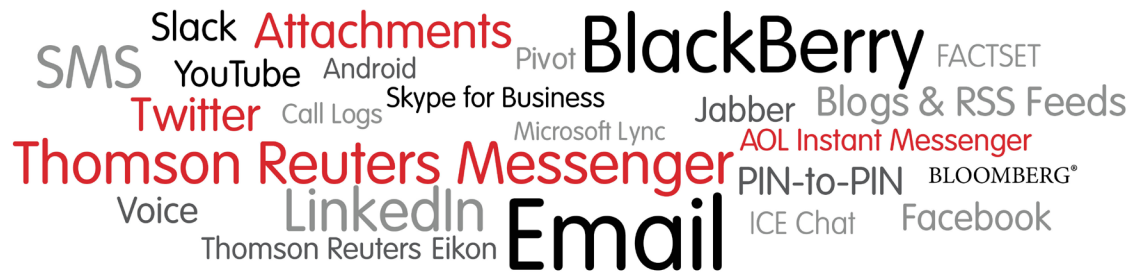
For international customers, Global Relay's interface is available in 8 languages (English, French, German, Spanish, Portuguese, Japanese, Simplified Chinese, Traditional Chinese), with full support for Asian character sets.

Independently validated internal controls. Global Relay services are tested and validated by a comprehensive KPMG Report on Global Relay's Business, Operational and Security Controls, providing customers with assurances and transparency into the high standards of Global Relay's internal controls, and how these controls truly differentiate Global Relay from its competitors. KPMG also conducts independent security penetration testing on Global Relay's Internet-facing systems and applications. This comprehensive third party validation of services and controls is completely unique in our industry.

# ELECTRONIC MESSAGING CHALLENGES AND SOLUTIONS

| | Challenges | Global Relay Solution |
|---|---|---|
| **Compliance** | • Complying with applicable laws and regulations<br>• Internal (governance, policies, ethics and HR issues) | • Compliance archiving with monitoring<br>• Supervision and review tools<br>• Industry specific compliance solutions<br>• Access to in-house legal expertise<br>• Rule interpretation, policy and audit assistance |
| **Litigation and eDiscovery** | • Managing business and legal risks<br>• Insurance costs, claims and liability<br>• Proving "who said what when"<br>• Finding the "needle in the haystack" | • Proactive protection for your business<br>• Affordable discovery and case management<br>• Evidentiary quality messages for court<br>• Rapid electronic search and retrieval<br>• Archiving is your insurance policy |
| **Business Continuity and Disaster Recovery** | • Continuous availability of critical data<br>• Retrieving filed, lost and deleted messages | • Instant access to existing and deleted messages<br>• Off-site storage in mirrored SOC-audited data centers<br>• One click instant recovery to Outlook<br>• Global Relay Continuity Mail, a secondary mail system |
| **Message Management and Storage** | • Growing volumes vs. mailbox size<br>• Deletion or loss of critical email<br>• Unmanageable PST files on desktops and laptops<br>• High cost of maintaining live access to email | • Unlimited mailbox storage<br>• One-click recovery of deleted mail to Outlook<br>• Import PST files<br>• Online access to user, group or company-wide mail<br>• Long-term, tamperproof storage of all messages |
| **Data Migration** | • Transitioning from legacy archiving systems; inadequate archiving vendors; in-house to hosted<br>• PST, MBox, MDir, NSF (Notes) and GroupWise files | • Import all messages directly to Global Relay Archive<br>• Unify all electronic records in a central Archive<br>• Low cost long-term storage with real-time access |

# UNIFY ALL YOUR FIRM'S MESSAGES IN THE CLOUD

Slack  Attachments  Pivot  **BlackBerry**  FACTSET

SMS  YouTube  Android  Skype for Business  Jabber  Blogs & RSS Feeds

Twitter  Call Logs  Microsoft Lync  AOL Instant Messenger

Thomson Reuters Messenger  PIN-to-PIN  BLOOMBERG®

Voice  LinkedIn  **Email**  ICE Chat  Facebook

Thomson Reuters Eikon

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Global Relay Archive securely captures, indexes and archives all major message types used in business:

- Email

- Public Instant Messaging

- Social Media (LinkedIn, LinkedIn Sales Navigator, Facebook, Twitter, Google+, Instagram and YouTube)

- BlackBerry and Android (Text/SMS, PIN, Call Logs)

- Bloomberg® messages
  (Instant Bloomberg, Bloomberg Mail)

- Thomson Reuters Messaging
  (Eikon, Thomson Reuters Messenger)

- Thomson Reuters Deal Tracker

- Pivot

- ICE Chat (formerly YellowJacket)

- Jabber/XMPP

- Cisco WebEx and Jabber

- Microsoft Lync/Skype for Business

- Websites (including audio, video, Flash and other dynamic content)

- Salesforce Chatter

- FactSet

- Yammer

- Jive

- Slack

- Squawker

- Symphony

# HOW ARCHIVING WORKS

Secure & redundant archiving — Global Relay's archiving process assures the quality, accuracy and completeness of your firm's archived data.

## Message Indexing and Analysis

1. Scanning is performed on message headers, text body and attachments, analyzing all relevant text and metadata (data on data) from the message.

2. Compliance Reviewer uses your firm's custom filtering rules to flag keywords and phrases contained within messages. An audit trail and reviewer action log is appended to each message.

3. Scanned text is indexed to Global Relay Archive's search engine and metadata is written to databases. These are synchronized (mirrored in real time) for redundancy and compliance purposes.

4. Global Relay Archive enables lifecycle management of data with customized retention/deletion policies, including litigation holds.

### External Delivery

For customers using on-premise archiving systems, Global Relay is able to capture and process a variety of message types for external delivery. Data is securely transferred to the customer via SFTP or SMTP over TLS. Message types supported include:

- Bloomberg®
- Thomson Reuters
- ICE Chat (formerly YellowJacket)
- LinkedIn
- Twitter

## Processing and Storage

1. Write verification process — As Global Relay Archive ingests and stores messages, the processed versions are automatically compared with the originals before the original is deleted (the original is stored in a buffer for 30 days). This verifies the quality and accuracy of the storage media recording process.

2. Encryption — Global Relay encrypts data at rest within Global Relay Archive via dual AES and RSA encryption algorithms. The message encryption (and decryption) process is transparent to users.

3. Cloud-based data storage in mirrored east/west coast data centers ensures secure redundancy for business continuity, disaster recovery and long-term storage.

# A UNIFIED ARCHIVE FOR ANY MESSAGE TYPE
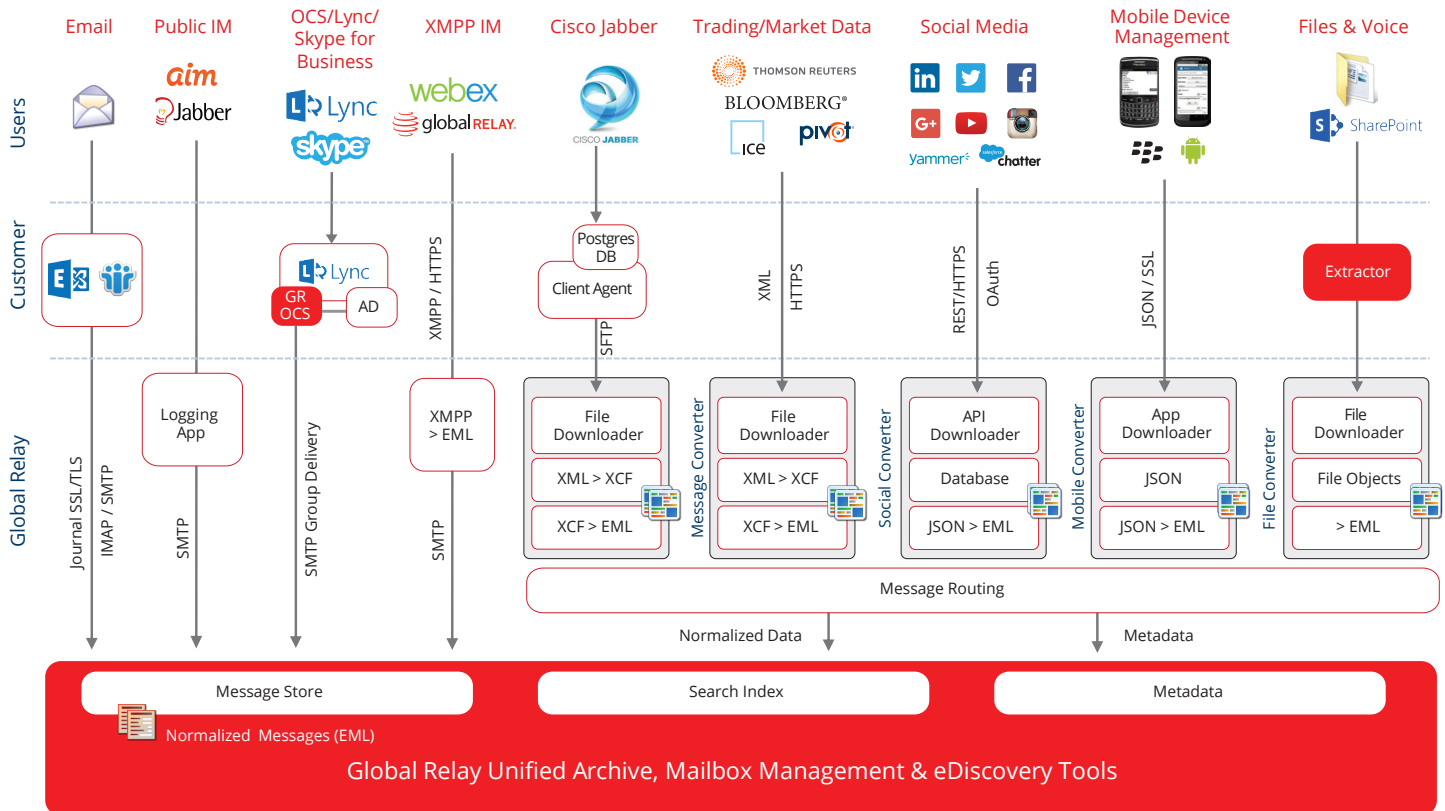


All trademarks are the property of their respective owners. Third party trademarks are used to identify supported data types.

Global Relay Archive is an enterprise-class cloud-based archiving, supervision, and eDiscovery solution that leverages a single unified repository to provide tools for all stakeholders in an organization, including Compliance, Legal, Security, IT and end-users. Benefits of a unified Archive include:

Consolidating Multiple Data Types – Messaging data from all sources is archived and unified in a central repository. The diagram above provides an overview of the technologies used to process specific message types.

Simplifying User Access – Role-based access controls to archived data provide strong Compliance, eDiscovery, Security and End-User roles with advanced functionality that allow organizations to conduct desktop and mobile search, compliance archiving and supervision, policy management, and legal discovery via one seamless, integrated platform.

In-Place Production – Evidentiary quality records can be produced online for regulators, legal counsel, and other third parties, reducing costs and ensuring organizations retain control of their data.

Accommodating Multiple Jurisdictions – Multinational organizations can virtually segregate data to comply with data protection and regulatory requirements, while authorized users can search across all jurisdictions and virtual archives worldwide.

# LEVERAGING GLOBAL RELAY ARCHIVE FOR EVERY BUSINESS ROLE

Global Relay Archive's role-based access controls replace the disparate software modules of most on-premise systems and create ways to better discover and use the valuable information in an organization's Archive. Global Relay Archive provides the tools to accommodate the needs of every stakeholder within an organization.

## For Employees

With Global Relay Archive, all employees in the organization get access to their own current and historical messages in the Archive — even if the original has been deleted. Global Relay Search lets users restore any message themselves in seconds, boosting productivity and reducing IT support time. Access is available anywhere, anytime via web browser, Microsoft Outlook integration, BlackBerry, iPhone, iPad and Android.

## For Managers and Human Resources Staff

Managers can effectively enforce firm policies by monitoring the messages of their assigned groups. Global Relay Archive gives managers a snapshot of their reports' communications and identifies any messages that may violate a firm's internal rules.

## For Compliance Personnel

Global Relay Archive provides a multi-tier system to help firms meet regulatory requirements for the supervision of employee communications. Compliance personnel have access to an extensive suite of compliance review tools for message monitoring, filtering, flagging and reporting.

## For Legal eDiscovery

Global Relay Archive provides proactive online search, discovery  and case management tools to assist with data production for legal purposes. Legal personnel are able to search, filter, cull, and classify Big Data and review data sets in response to legal data demands and subpoenas.

Online audit tools are also available for regulatory exams and audits which give third party auditors and regulators access to a customer-defined subset of data.

## For Administrators

Customers' authorized administrators can deploy customized access rights to allow individuals access only to their own messages, to a group of other users' messages, or to an organization's entire archive. Granular administrator controls allow firms to set up access rights that mirror the reporting structures in their organizations.

## For Security Personnel

Global Relay Archive enables authorized security personnel to keep real time controls on the business, authorized personnel and archived data.

Through Global Relay Archive's Event Log, every action is recorded to chronologically preserve all administrative actions, including login, log out, and assignment of access rights. Group and role management are monitored and time-date stamped.

# Green Data Center

Eco-Friendly
Data Centres

Global Relay owns its entire technology stack – from the software designed by our in-house R&D team, to the hardware and servers running the software, to the primary data center out of which our services operate. Our private data center is a custom-built, state-of-the-art facility that is entirely designed, constructed, owned and operated by Global Relay. It is an investment in the future of our company and a demonstration of our commitment to offering customers scalable, industry-leading cloud solutions with exceptional reliability and security – both now and in the future.

Capacity. Every year, organizations generate increasing volumes of messaging data – the email, IM, text messages, and social media content that dominates today's business communications. Keeping pace with these data volumes requires massive storage capacity. With its 200-rack, 4-Megawatt capacity, our private data center ensures we can continue to serve a rapidly growing global customer base comprised of organizations of all sizes.

Flexibility & Scalability. Global Relay is continually developing new technologies and solutions whose operations require dramatic increases in server capacity and computing power – approximately a 50% increase each year. Owning and operating our own data center, which has been designed to accommodate our predicted rapid growth, allows us to scale and adapt to customer needs and performance requirements.

Security & Reliability. The design of Global Relay's private data center is consistent with the Uptime Institute's Tier III Concurrent Maintainability Guidelines, with additional features targeting fault tolerance. It is mirrored with a secondary co-location facility for additional redundancy and disaster recovery capability. We own and operate all software and hardware. We also manage our own network routing between redundant connectivity providers, with the result that we are not dependent on any external vendor or provider. This level of control allows us to provide high performance solutions with rock-solid reliability and security, all backed by expert support.

## Green Innovation

Global Relay is committed to environmental responsibility. Our private data center uses an innovative combination of cutting-edge green technologies to achieve high efficiency:

Evaporative Cooling – We have completely eliminated mechanical air conditioning (traditionally the largest use of power in data centers) by strategically locating the data center in a region with a stable, mild climate and high annual rainfall. During the majority of the year, the facility uses only outside air for cooling. During periods of high temperatures, it uses evaporative cooling. The evaporative cooling system pulls 150,000 cubic feet of air into the building every minute, directs it through "water blankets" to drop the temperature, and uses the chilled air to cool the servers.

Flywheel UPS – An uninterruptible power supply (UPS) provides power to a data center in the gap between a failure of the primary power source and the failover to the backup power source. Most data centers use toxic lead-acid battery UPS systems. We use flywheel UPS, a system of sixteen 600-pound flywheels (rotating steel donuts) that spin at 7,000 RPM (revolutions per minute) and store electricity in the form of kinetic energy.

Hydroelectricity – The data center is powered by hydroelectricity, a power source that does not create greenhouse gases.

Energy Efficiency – The data center design provides a 50% energy savings compared to traditional facility designs.

# For Email

Global Relay Archive for Email seamlessly captures, archives, and preserves all incoming, outgoing and internal email and attachments in real time — allowing you to view them in the Archive immediately.

Global Relay Archive for Email supports email from virtually all email platforms. It imports all email and attachments, letting users access their archived messages via Global Relay Search. Within the Archive, full header metadata is visible and searchable — including message date and time, sender information, Bcc or distribution lists, server information, and much more.

Global Relay Archive for Email supports the following email platforms:

- Global Relay Email (Zimbra)
- Exchange (2013, 2010, 2007, 2003)
- Lotus Notes/Domino
- Microsoft BPOS
- Microsoft Office 365
- Google Apps
- SendMail
- Qmail
- Postfix
- Scalix
- Exim
- Communigate
- Hosted Exchange providers — Global Relay works with over 60 hosted Exchange partners worldwide
- More — contact Global Relay if your firm's email platform is not listed here

## About Journaling, BCC and Distribution Lists

Email servers such as Microsoft Exchange offer journaling capabilities, allowing organizations to feed copies of all email data into a third-party archiving solution such as Global Relay Archive.

Global Relay employs Envelope Journaling to ensure header information about each email is transferred to Global Relay Archive, including Bcc recipients and each individual recipient on a distribution list.

By preserving and clearly displaying metadata within the Archive, firms have comprehensive and compliant recordkeeping, enabling compliance officers and managers to get a full picture of who said what, when — and to whom.

## Delivering Email to Global Relay Archive

To download email from your firm's email servers (whether on-site or hosted) Global Relay uses IMAP (Internet Message Access Protocol). With this method, Global Relay can constantly monitor your email traffic and respond quickly in the event of a mail server issue.

As an alternative, SMTP (Secure Mail Transfer Protocol) is also supported by Global Relay Archive. No matter what your email environment is, the Global Relay Provisioning team can work with your staff to determine the most appropriate solution to ensure your firm's email is delivered seamlessly into the Archive.

# For Microsoft Lync & Skype for Business

Microsoft Lync, now known as Skype for Business, provides enterprise instant messaging presence and collaboration. Global Relay has developed propietary software that securely captures and archives two-party IM, multi-party IM and persistent chat Lync/Skype for Business messaging for regulatory compliance, eDiscovery, audit and litigation readiness, message management, and more.

**How it works.** Microsoft Lync/Skype for Business supports optional local logging of conversations in the Microsoft Archiving Server Database. Global Relay provides your firm with software to install locally on your server. This software periodically extracts conversations from the Microsoft Archiving Server Database, converts them to EML, and delivers them to Global Relay.

**Detailed message and metadata capture.** Global Relay Archive preserves Lync/Skype for Business conversations in their original format and provides a detailed summary of each conversation, including:

- Number of participants
- Participant usernames
- Number of individual messages
- Duration of conversation

**Compliant Archiving.** All conversations are time-date stamped, serialized, indexed, and preserved on tamperproof storage with write-verification. Conversations are also identified by an icon within Global Relay Archive for easy access, retrieval and review.

**Active Directory Integration.** Some firms have groups of employees whose messages requre special archiving procedures due to security, compliance, or retention concerns. For example, a firm may use a dedicated archive to store the mesages of its traders separately from other employees. Global Relay Archive for Lync/Skype for Business can integrate with your Active Directory to provide granular control over which users' messages are archived and in which Global Relay Archive they are preserved. You may also choose to archive internal communications, external communications, or both.

### Supported Versions

Global Relay Archive supports all recent versions of Lync/Skype for Business/OCS:

- OCS 2007 R2
- Lync 2010
- Lync 2013
- Skype for Business Online

# For Social Media

Leverage social media as a revenue-generating tool for your business. Social media channels deliver significant business value for firms using them for sales, networking, customer communications, recruiting and more. However, in order to meet compliance requirements in the financial industry and other sectors, organizations must ensure that social media messaging is properly archived and monitored.

Global Relay provides secure, automatic social media archiving — enabling your firm to allow employees to use social media while remaining compliant. It captures a permanent record of your firm's LinkedIn, LinkedIn Sales Navigator, Twitter, Facebook, Google+, YouTube and Instagram activities, helping ensure your firm's preparedness for audits, eDiscovery requests, legal proceedings and more.
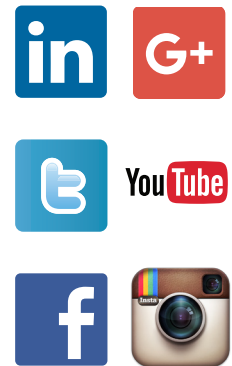
Notably, Global Relay is the world's largest hosted archiver of LinkedIn messaging for Compliance.

## Why Choose Global Relay for Social Media?

- Rich display in the Archive — When viewing a social media communication or profile update within Global Relay Archive, you see exactly what was communicated, sent, changed or removed — including any photos or links —  very similarly to how it originally appeared.

- One vendor. One archive — Global Relay provides a single end-to-end solution for social media capture, indexing, archiving, supervision, audit and eDiscovery, together with email and all other message types. Since Global Relay Archive supports social media seamlessly, the need to manage a third-party social media solution in addition to your existing archive is eliminated.

- Comprehensive data capture — Once a social media account is set up for archiving with Global Relay, the user's activity is captured no matter what location or device they use. Global Relay captures social media content generated on home PCs, mobile devices, etc.

- Seamless setup — All Global Relay solutions are quick and easy to enable at your firm. Once the system is set up, users' experiences on social media are not affected. Simply use Global Relay Archive to send an opt-in email to all users whose social media accounts will be archived. Users' privacy is maintained; neither your firm nor Global Relay retains employees' social media usernames or passwords.

### Web Archiving

It is a best practice to archive your firm's web content for compliance, audit and litigation readiness, internal recordkeeping, competitive intelligence and more. Global Relay provides the capability to archive any type of web content, including pages, links, audio, video, Flash, blogs, public social media pages and much more. The service constantly monitors your website for additions or changes, and creates digital snapshots in real time. A convenient online interface lets you scroll through an interactive history of your site at any time. When browsing your archive, all interactive elements remain functional, letting you re-experience your website in its original form.

## How it works

Straightforward setup — First, use Global Relay Archive to send an opt-in email to all users whose social media accounts will be archived. The email contains a link directing them to a secure webpage where they click to grant Global Relay permission to begin archiving their social media account.

A seamless archiving process — Global Relay Archive connects directly to social media services via API to ensure complete, timely and accurate capture of social media activity within your firm. This approach avoids a critical compliance gap that can occur with social media archiving solutions (such as middleware) that work only when users access social media from behind a proxy server on company premises.

## Viewing Social Media Within Global Relay Archive

| Subject: | in LinkedIn: Profile Update: Thomas Stockdale <tstockdale@wavelengthsec.com>: 2012-01-11 12:59:58 PM (EST) |
|---|---|
| From: | "Thomas Stockdale (JIQRv-ns88)" <tstockdale@wavelengthsec.com> |
| Date: | 8 months ago Wed, 11 Jan 2013 12:59:58 -0500 |
| To: | "Thomas Stockdale (JIQRv-ns88)" <tstockdale@wavelengthsec.com> |

Thomas Stockdale
COO, Managing Director at WaveLength Securities, LLC
COO, Managing Director, Head of Global Relations at WaveLength Securities, LLC
Greater Chicago Area | Banking

**Thomas Stockdale** Here at Wavelength Securities, we need to bolster our research division. If you know qualified people, send them my way.

Jan 5, 2012 4:17:42 PM EST

| | |
|---|---|
| Current | COO, Managing Director, Head of Global Relations at WaveLength Securities |
| Past | Managing Director at Farrington Investments, Inc. |
| Education | The University of Chicago - Booth School of Business |
| Recommendations | 0 people have recommended Thomas |
| Connections | **3 Connections** |
| Websites | Company Website |
| Public Profile | http://www.linkedin.com/pub/thomas-stockdale/44/924/7a |

### Summary

Accomplished global executive with extensive experience in strategy and business analysis, business process re-design, and risk management. Results-driven manager with proven ability to collaborate, influence and drive change across global organizations.

### Experience

COO, Managing Director, Head of Global Relations
**WaveLength Securities, LLC**
Banking industry
January 2010 – Present (2 years 1 month)

### Global Relay's Unique "Redline View"

Global Relay Archive provides a rich display of archived social media activity, showing each user action in context. A "redline" view shows you exactly which information has been added or deleted. Here, Global Relay Archive has captured a user's update to his LinkedIn profile. Pink highlighting indicates removed text; yellow indicates added information.

### Social Media Marketing, Management & Compliance
Powered By Hootsuite

Global Relay has teamed up with HootSuite to offer a complete solution for social media marketing, management, pre-approval, archiving and compliance. HootSuite provides a powerful dashboard for social media communications, management, pre-approval, analytics and much more. This integration ensures that content generated via HootSuite is fed directly from HootSuite to Global Relay for archiving — providing firms with a complete end-to-end solution for social media.

# GLOBAL RELAY ARCHIVE
## For BLOOMBERG® Messages

Global Relay Archive for Bloomberg® messages provides the world's most advanced and easy-to-use solution for compliance archiving of Bloomberg messages.

**Global Relay is one of the major third-party downloaders of Bloomberg messaging.**
Global Relay has unparalleled expertise in Bloomberg message archiving. Many of the world's largest financial firms count on Global Relay Archive to preserve and manage their mission-critical Bloomberg messages. Global Relay archiving solutions are specifically designed to accommodate the many unique characteristics of Bloomberg messages — ensuring your firm stays compliant and in control.

**Ensure the quality, accuracy and completeness of your archived Bloomberg message data.**
Global Relay Archive provides end-to-end message reconciliation for all archived message types, including Bloomberg messages. As new Bloomberg messages are downloaded daily via the Bloomberg HTTPS site (at the express direction of the customer), each message is processed using write-verification and reconciliation to automatically verify quality, accuracy and completeness. Full reconciliation reports are available to company administrators via email. In this way, the authenticity and integrity of your firm's archived messages is assured.

**Superior Bloomberg metadata preservation.**
As Bloomberg messages are ingested into Global Relay Archive, the system captures and preserves all possible metadata (attributes) from each message, such as attachments and header information.

**Advanced features help save you time when reviewing Bloomberg messages.**
Within Global Relay Archive, the metadata of Bloomberg messages is fully searchable — providing compliance officers with exceptional visibility and flexibility when performing message review and employee supervision. For example, a compliance officer can:

- Limit a search to either Bloomberg Mail, Instant Bloomberg, or both
- Search for content specifically contained in the Greeting, Disclaimer or Message Body
- Search for messages sent "On Behalf Of" another user
- Filter searches for messages sent from a mobile device or a terminal
- Include or exclude News Alerts in search results
- See which users posted and viewed a particular Instant Bloomberg communication
- Differentiate between carbon-copied (CC) and auto-copied messages; perform searches based on these message attributes

### Importing Legacy Bloomberg Mail
Global Relay is also able to transfer and import legacy Bloomberg Mail stored internally or with Bloomberg.

For customers using on-premise archiving systems, Global Relay is able to capture and process Bloomberg messages for external delivery via SFTP or SMTP over TLS.

**Disclaimer:** Global Relay Archive only converts files that are made available by Bloomberg L.P. to Bloomberg L.P.'s customers, and technically able to be downloaded. There is no affiliation between Global Relay and Bloomberg, and Bloomberg processes are subject to change at any time without notice to Global Relay. Download of Bloomberg messaging is under the express direction of the customer. The Bloomberg® name and logo are the sole property of Bloomberg Finance L.P. The use of the Bloomberg name and logo is to identify its message type and no implication of endorsement by or affiliation with Bloomberg is intended.

## Viewing Bloomberg® Messages WIthin Global Relay Archive

Subject: **IB** * IB: 2 Users, 8 Messages, 13 Minutes*
From: "CHRIS LEE" <chris@lee.net>, "JAMES PHALSON" <james@lee.net>
Date: **4 months ago** Thu, 26 Apr 2013 10:26:45 -0400

Message Summary Table | Instant Bloomberg | Timezone: America/New York, (EST/EDT) -04:00/-05:00; **Started:** 02:26:45 PM; **Finished:** 02:40:12 PM; **Duration:** 13 mins

| Company | Participants | Bloomberg ID | Joined | Left | Duration | Messages |
|---|---|---|---|---|---|---|
| LEE INVESTMENTS | CHRIS LEE | chrisl@bloomberg.net | 2:26 pm | 12:00 am | 734611 days 14 hours 26 mins | 4 |
| LEE INVESTMENTS | JAMES PHALSON | jamesp@bloomberg.net | 2:26 pm | 12:00 am | 734611 days 14 hours 26 mins | 4 |

**(2:26 pm)** CHRIS LEE (LEE INVESTMENTS) **enters the conversation**

**(2:26 pm)** CHRIS LEE (LEE INVESTMENTS) **has invited themselves**

*Want to talk about oil?*

**(2:26 pm)** JAMES PHALSON (LEE INVESTMENTS) **enters the conversation**

**IB** (2:27 pm) JAMES PHALSON (LEE INVESTMENTS):
Hi Chris -- how was your weekend?

**IB** (2:29 pm) CHRIS LEE (LEE INVESTMENTS):
Not bad at all. You checked on oil yet this morning?

**IB** (2:31 pm) JAMES PHALSON (LEE INVESTMENTS):
I'm not quite sure what's going on. Exposure is $112M.

### Instant Bloomberg Messages
are shown as threaded conversations within Global Relay Archive, along with a handy Message Summary Table showing all relevant information about each participant.

## About Bloomberg Messaging

There are a number of ways to communicate within Bloomberg and Global Relay supports each of these messaging types:

- Bloomberg Mail (BMail) — email sent between Bloomberg users.
- Instant Bloomberg Messages (IB) — instant messaging sent between Bloomberg users.
- Internet Mail — Bloomberg email sent to outside email addresses and vice versa.

# For Public Instant Messaging

Public instant messaging (IM) networks are hugely popular in the finance and business communities, but the open and public nature of services like AOL Instant Messenger (AIM) can present a variety of risks and compliance issues for your business — unless these messaging tools are properly managed.

Global Relay Archive for Instant Messaging enables your firm to leverage the convenience and communities of public IM networks while protecting your business and complying with regulatory requirements.

Easy setup and provisioning — As part of the straightforward setup process, supply Global Relay with a list of the aliases in use by your firm's employees — Global Relay Archive will securely archive their IM conversations in near real time.

Global Relay is the world's largest hosted archiver of instant messages.

## Global Relay Instant Messenger

In addition to archiving the public instant messaging types listed above, Global Relay also provides a solution for private internal instant messaging.

Global Relay Instant Messenger is a secure, closed-network instant messaging system. Designed to be compliant with regulatory requirements, this IM solution provides organizations of any size with secure, private instant messaging on an internal network.

Global Relay Messenger provides a simple and reliable messaging environment while maintaining real-time, scalable connectivity and collaboration internally.

Using an easy-to-use, feature-rich client, your organization can privately exchange and archive instant messages and data, while achieving superior security compared with public IM networks.
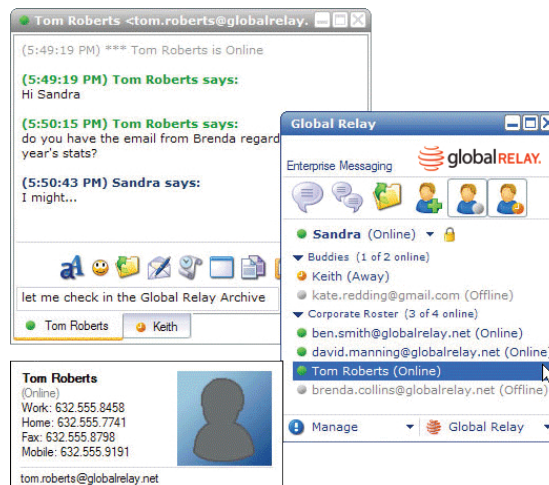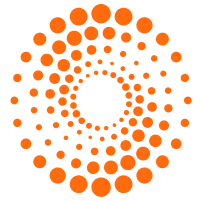
## Powerful Messaging Features

- Secure end-to-end messaging
- Seamless capture of messages in Global Relay Archive for compliance
- Corporate Roster with "out-of-the-box" company-wide contacts
- Peer-to-peer file transfers
- Jabber/XMPP compatible
- PC & Mac compatible

*While these services have been end-of-lifed by Google and Yahoo, Global Relay is able to import and archive legacy public IM data previously captured by other archiving solutions.

# For Thomson Reuters®

Through an exclusive worldwide Strategic Partnership with Thomson Reuters, Global Relay provides users of Thomson Reuters Eikon, Thomson Reuters Messenger and Thomson Reuters Deal Tracker with a fully integrated messaging compliance solution.

Global Relay enables the use of Eikon, Thomson Reuters Messenger and Deal Tracker by logging user-generated content such as instant messages, chat room conversations and more. This messaging data is then archived by Global Relay, or delivered to customers' in-house archiving systems.

Global Relay Archive provides compliance officers and managers with full visibility into employees' activity, including:

- Thomson Reuters Messenger Instant Messaging Conversations, Chat Rooms, Files, Forms, and Screenshots
- Eikon Commentaries, including Files, Forms, and Screenshots
- Deal Tracker messaging and trade information

**THOMSON REUTERS**

## Sophisticated, detailed message capture

With Global Relay's proprietary technology for logging and archiving of Thomson Reuters content, a compliance officer or manager can perform granular searches based on a wide variety of user actions, compliance reviewer actions or system events.

**Global Relay is Thomson Reuters' Exclusive Compliance Archiving Partner**

## Thomson Reuters Eikon

Eikon is Thomson Reuters' premier system for financial market professionals, providing comprehensive market information, news, analytics and trading tools.

Global Relay powers Eikon's built-in capability for compliance archiving of all user-generated messaging content. Long-term message archiving for compliance (via Global Relay) as well as web-based message search, supervision and review tools for compliance officers, managers and individual users is offered with all Eikon subscriptions.

## Thomson Reuters Messenger

Thomson Reuters Messenger is a secure, high-performance communication service designed to allow finance professionals to collaborate in real-time and build a powerful, global directory of contacts. Archiving of this content is an add-on service for customers of Thomson Reuters Messenger.

## Thomson Reuters Deal Tracker

Thomson Reuters Deal Tracker offers a suite of tools for monitoring and processing FX trades from the front to the back office.

# Compliance Reviewer

**Efficient, effective compliance review and supervision** — To enforce and monitor your firm's policies for proper messaging usage, corporate governance and compliance, Global Relay Archive provides a flexible, easy-to-use, multi-tier supervisory system that can mirror the reporting structure of any size firm, no matter how complex.

**Customize Global Relay Archive for your firm with precision.** Global Relay Archive provides the most flexible and precise message flagging rules and filters — pinpointing messages of concern and reducing false positives.

- **Customizable flagging rules** for each of incoming, internal and outgoing messages.

- Easily **create rules and exceptions** based on keywords, keyword proximity, random sampling, exclusions, domain addresses and phrase proximity analysis.

- **Customized exclusions** can filter out specific words (e.g. "eBay"), phrases (e.g. "cannot guarantee"), domains (e.g. "wsj.com"), disclaimers, or attorney-client privileged mail.

- Support for **Legal Holds** — allowing manual or automatic classification and holding of particular messages, independent of your firm's retention policy. Messages associated with a case can be searched, retrieved and copied to multiple "Legal Hold Folders" where they remain for as long as the hold is required.

## Features of Compliance Reviewer

- One-click Review button allows compliance personnel to quickly find all messages flagged for review

- Role Manager provides highly granular control over message access levels for users, groups, reviewers and administrators

- Full audit trail reports on message history, including views, flags, escalations and more

- Compliance Dashboard provides quick access to messages with any status, flag or action

- Review messages faster — click through from message to message in under a second

- User-defined folders and shared folders for organizational, eDiscovery or compliance purposes

- Advanced on-demand and scheduled reporting features — allowing compliance officers to gain clear insight into message compliance within the firm

- Compliance officers can automatically flag messages by keyword, phrase, policy or random sample

- Event log feature allows step-by-step visibility of any user's activity

- Fits all review structures from single reviewers to multi-level, multi-role global review systems

- Global Relay enables independent access to an SEC-mandated Third Party Downloader if required

## Carry Out Message Review Efficiently

- For compliance officers, managers, HR and other supervisors, Global Relay Archive is designed to be the most efficient and easy-to-use solution of its kind, saving time and removing the headaches associated with reviewing large volumes of messaging

- Advanced filtering with categorization by flags, priorities, folders, and labels — find only the exact messages relevant to your search

- Quickly browse through full messages with attachments, or headers only with virtually no latency

- Keyword search results are highlighted in different colors within the message for quick discovery

## Gain Visibility and Insight

The sophisticated and customizable reporting tools within Global Relay Archive provide you with any level of detail about your firm's messaging activity.

- See comprehensive reports on the messaging and reviewing happening in your firm — on-demand, or on a scheduled basis

- Reports are highly configurable and can mirror the reporting structure of any firm — even those with complex hierarchies and multiple locations

- Instantly see the number and percentage of messages flagged, reviewed, marked non-compliant, etc. for each group and individual reviewer within a firm

- Detailed time-date stamped logs with audit trail history provide a history of reviews and actions taken upon each message

# Mobile Device Management for Compliance

## State-of-the-Art Archiving & Compliance for Smartphones

**Maintain compliance and control over mobile messaging in your firm.** For companies that communicate using smartphones such as BlackBerry and Android devices, it is essential to manage, protect and monitor all types of mobile messaging — including text messages (SMS), PIN messages and call logs.

**A completely unique approach to archiving mobile messaging and call logs.** Built in-house by our development team, Global Relay Mobile Device Management securely captures messaging and call logs from Blackberry and Android devices and transparently transmits that data to Global Relay for archiving.

- **Android:** Global Relay Mobile Device Management is the first end-to-end integrated compliance archiving solution that supports text messages (SMS) sent and received on Android devices, as well as call logs with location information and address book names.

- **BlackBerry:** For BlackBerry devices, Global Relay Mobile Device Management is unlike anything else on the market — it captures and archives text messages (SMS), PIN messages and call logs (with location and address book names) as soon as they occur. The process runs entirely on the device — without a dependency on systems such as BlackBerry Enterprise Servers (BES).

  The service supports any BlackBerry environment: BES (in-house or hosted), BIS (BlackBerry Internet Service) and Mobile Fusion. Customers using BIS can also opt for Global Relay to archive every outgoing email from BlackBerry devices.

## Enabling a True 'Bring Your Own Device' (BYOD) Environment

**Gartner Research calls the Bring Your Own Device (BYOD) trend "the most radical shift in client computing since the introduction of the PC".** A BYOD policy allows employees to use their own smartphones and other mobile devices for business purposes. This approach brings a number of benefits for firms, including dramatically reduced costs for airtime, hardware and technical support, as well as increased employee satisfaction with devices of their own choosing.

**Manage the app, not the device.** Global Relay Mobile Device Management is the only archiving solution that enables a true BYOD policy for firms requiring message archiving. Eliminating the need for third-party hardware or software, Global Relay Mobile Device Management frees up your firm to deploy Android and BlackBerry smartphones — while gaining all the benefits of archiving and staying compliant with regulatory requirements.

### iPhone & iPad Ready

**Ready and waiting for Apple** — Currently, Apple does not publish API access to enable third-parties such as Global Relay to archive messaging from iPhones and iPads. Global Relay will provide a compliance archiving solution on iOS devices as soon as API access is made available.

## Viewing Mobile Activity Within Global Relay Archive

| Subject: | Mobile Log – 16 Calls, 4 Users, 38m 3s over 24 hours |
|---|---|
| From: | "Steve Drinkwater (+1.212.123.1111)" <sdrinkwater@wavelengthsec.com> |
| To: | "Melissa Jarvis(+1.216.555.2121)" <mjarvis@wavelengthsec.com>, "Alan Teasdale (+44.0.1581.897554)" <ateasdale@wavelenthsec.com>, "Dave Lautner (212.123.1112)" <dlautner@lautnerwealth.com> |
| Date: | Date: 17 Nov 2013, 10:38:43 PM EST |

Mobile Log for "Steve Drinkwater (+1.212.123.1111) <sdrinkwater@wavelengthsec.com>:

| Name | Steve Drinkwater |
|---|---|
| Model | samsung - m0 - GT-I9300 |
| Phone Number | +1.778.288.9738 |
| App | GR Archive for Android v1.0.71717 |

**Summary Table**

| Name | Number(s) | Incoming | Outgoing | Total Duration |
|---|---|---|---|---|
| Alan Teasdale (Contacts) | +44.0.1581.897554 | 0 | 1 | 1m 46s |
| Melissa Jarvis (Contacts) | +1.216.555.2121 (mobile) | 27 | 23 | n/a |
| Dave Lautner (Contacts) | +212.123.1112 | 1 | 0 | 10s |
| | Total | 1 | 2 | 2m 16s |

**Details**

| Name/Message | Time | Duration | Number/PIN | Type | Network | Location | |
|---|---|---|---|---|---|---|---|
| Melissa Jarvis: Defaulted loan portfolios: in high-maturity market segments, plan to insulate them. | Fri 16 Nov 2012 06:03:39 PM GMT-08:00 | | +1.212.123.1111 (mobile) | SMS | TELUS GSM 302:220:11101:72167280 | Gastown, Vancouver British Columbia, CA | (-123.108, 49.284) |
| Steve Drinkwater: In the North American market, be sure not to redistribute uncovered debt tranches | Fri 16 Nov 2012 08:03:17 PM GMT-08:00 | | +1.216.555.2121 (mobile) | SMS | ROGERS GSM 302:720:65500:1962316 | Gastown, Vancouver British Columbia, CA | (-123.108, 49.284) |
| Alan Teasdale Incoming Call Connected | Fri 16 Nov 2012 06:17:18 PM GMT-08:00 | 1m 46s | +44.0.1581.897 554 | Call | ROGERS GSM 302:720:65500:1962316 | Gastown, Vancouver British Columbia, CA | (-123.108, 49.284) |
| Dave Lautner Outgoing Call Connected | Fri 16 Nov 2012 11:59:12 PM GMT-08:00 | 10s | 212.123.1112 | Call | ROGERS GSM 302:720:65500:1962316 | Gastown, Vancouver British Columbia, CA | (-123.108, 49.284) |
| Melissa Jarvis: In the commodities sector, be sure to insure OTC acquisition costs. | Fri 16 Nov 2012 08:04:08 PM GMT-08:00 | | +1.212.123.1111 (mobile) | PIN | ROGERS GSM 302:720:65500:1962316 | Gastown, Vancouver British Columbia, CA | (-123.108, 49.284) |

## Exclusive Capabilities:

○ **Address book name lookup** — Within Global Relay Archive, counterparties' names are included when displaying each logged call, SMS or PIN message. This provides unprecedented insight for compliance officers or managers when reviewing an employee's activities. Not only can they see the counterparty's phone number, but also the name assigned to that number in the address book of the employee's smartphone.

○ **Detailed call logs include location** — Uniquely, Global Relay Mobile Device Management captures each call's location, displaying geographical coordinates and the city or region where the call took place — a first in archiving technology. Call logs also include time, date, duration, phone number, and address book name. These are powerful pieces of information for compliance, employee supervision, internal recordkeeping and more.

○ **Policy-driven archiving** — Precise policy controls let administrators customize what information is logged and archived. Policies can be firm-wide, or specific to groups or users.

○ **External delivery** — For firms with on-premise archiving solutions, Global Relay Mobile Device Management is also able to provide external delivery of messages.

○ **Simple provisioning** — Global Relay Mobile Device Management is straightforward to set up and requires no additional hardware or software.

# Global Relay Search

## Find any message, anytime, anywhere

Give users quick access to any past communication.
Global Relay Search provides access to archived
messages on BlackBerry, iPhone, iPad, Android and
Microsoft Outlook. These innovative applications
give all users in your firm real time access to
personal Archives of all their own current and
historical messages — including every message
type in your firm's Archive. Global Relay's powerful
search functionality enables users to retrieve and
restore any message in seconds.

Message archiving is more than a tool for
compliance and HR management. Global Relay
Search increases employee convenience and
productivity by eliminating the need for multiple
folders and personal storage files (PSTs).

## Why enable archive access for everyone in your firm?

Retrieve any message via one convenient access
point. With Global Relay Search, employees can
rapidly search a single unified repository of all
their messages sent or received, including email,
instant messages, Thomson Reuters, Bloomberg®,
BlackBerry, social media and more.

Benefit from productivity gains. Since users can
search their own Archive, lost messages and time-
consuming searches are eliminated, saving time
and boosting productivity. Sophisticated search
capabilities including Boolean, wildcards, and
proximity logic allow rapid message search and
recovery. Users can instantly restore any type of
message to their inbox, even if that message has
been deleted — alleviating a burden for IT.

Bring up any message on the go. Whether in a taxi,
at an airport or at an offsite meeting, Global Relay
Search gives you access to past communications,
anywhere, anytime. Smartphone apps for
BlackBerry, iPhone, iPad and Android are available,
as well as access through any web browser.
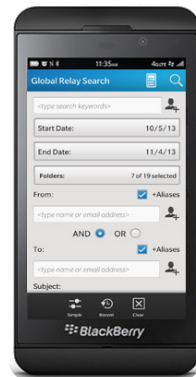
## Why use Global Relay Search?

- Quickly find any message, anywhere, any time
- Never lose a message or waste time searching for messages
- Users can restore lost or deleted emails themselves, saving IT time
- Bring up messages older than your device's memory
- Retrieve old messages on a new device
- Reduce dependence on email folders – simply search for any historical message on the fly

## All Global Relay Search platforms feature:

- Find any/all archived message types – including email, instant messaging, BlackBerry, Bloomberg, Thomson Reuters, social media (LinkedIn, Twitter, Facebook) and more
- Easy-to-use interface — no training required
- Recover messages to your inbox with just one click
- Search by Date, Folder, From/To/Cc/Bcc, Subject, Attachments, Keywords
- Reply, Reply All, Forward and Recover messages
- Multilingual interface

## Global Relay Search for BlackBerry

○ Optimized for BlackBerry 10 OS

○ Search using email addresses pulled from BlackBerry Contacts

○ Optimized to minimize bandwidth usage and battery consumption

○ Built as a thick client with integration for click to call, email, SMS and opening links

Find and retrieve messages fast on BlackBerry smartphones

Get it at **BlackBerry App World**

## Global Relay Search for iPhone & iPad

○ Perform searches within the familiar iOS user interface

○ Search using email addresses pulled from iPhone Contacts

○ iPad app is optimized for the iPad's screen size

Quickly retrieve any archived message with an easy-to-use iPhone interface

Available on the **App Store**

## Global Relay Search for Android

○ Works with all Android phones and tablets

○ On tablets, view search results and individual messages side-by-side

Powerful advanced search features allow for quick and precise message retrieval

ANDROID APP ON **Google play**
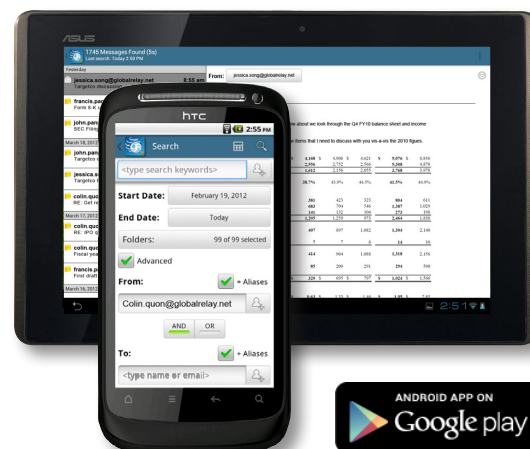
## Global Relay Search for Microsoft Outlook

○ A plug-in for Microsoft Outlook that creates a Global Relay folder inside Outlook, showing an easy-to-use Archive search interface

○ Perform Archive searches without leaving your daily email workflow

○ Quick Search bar saves time for simple searches of recent messages

○ Straightforward installation: Global Relay provides an .MSI file to your firm's IT department
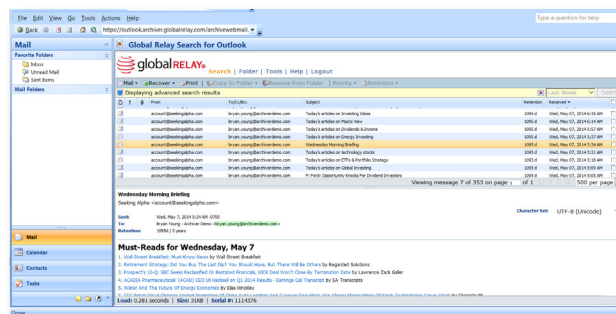
# Audit and eDiscovery Services

Global Relay guides customers through audits and legal eDiscovery demands. Every day, firms of all sizes find themselves involved in audits, legal proceedings and information requests. When these situations arise, Global Relay can provide tools, knowledgeable help and best practices guidance to its customers to help successfully navigate the intricacies and complexities in a timely manner.

## Solutions Designed for Audits and eDiscovery

Global Relay Archive provides efficient online tools for data collection, collaboration, case management and responding to data requests.  All data is natively captured, de-duplicated, time-date stamped, serialized, indexed, archived and preserved in the Archive, a central, secure repository that is accessible in real-time 24/7. Advanced search and discovery tools are used to cull, filter and classify data, which can then be viewed online by auditors, regulatory authorities or legal counsel, or extracted to a variety of formats.

## Experienced, Professional Team

Global Relay understands the uncertainty and stress that audits and legal actions can bring. Our Audit and eDiscovery team is a dedicated in-house team of experienced professionals whose sole purpose is to assist your firm with audits, regulatory actions, risk assessments, and legal discovery requests by helping you leverage Global Relay Archive. Our team has the depth of expertise and knowledge required to accommodate the needs of any size or type of firm in these situations. We assist customers search, filter, classify, extract and produce specific archived data for:

- Audits
- Regulatory examinations
- eDiscovery demands and subpoenas
- Information requests
- Litigation and assessments
- Anti-money laundering (AML) compliance
- HR matters
- FINRA Requests for Information
- Attorney-Client Privilege

## Security and Confidentiality

The Global Relay Audit and eDiscovery team understands the sensitive and confidential nature of audits and legal proceedings. The security and privacy of customer data is our number one priority. Global Relay always ensures that proper due diligence is undertaken and that security and legal disclosure processes are observed before responding to any lawful access or data requests.

## International Jurisdictions

In cooperation with our in-house legal staff, the Global Relay Audit and eDiscovery team also has strong experience in dealing with cross-border issues. We work with the various local jurisdictions and regulatory compliance regimes to ensure all legal requirements and demands are efficiently responded to and that privacy and AML controls are observed.

## Guiding Customers

Our goal is to give you timely service, guidance and information to help you successfully navigate the intricacies of audits and legal actions – making the process as painless as possible. We assist customers with more than 1000 audits and legal discovery requests per year. Let us put our team's experience to work for you.

# Data Migration

## Import of PSTs and Legacy Data

Global Relay simplifies data management. Consolidate your company's old messaging data and eliminate backup data as part of a comprehensive data unification plan. Imagine being able to restore, access, manage and consolidate your organization's past and present email, Bloomberg®, instant messaging, and more in a unified online secure repository. Your messages will be preserved alongside all your new messages going forward and accessible real-time 24/7 for rapid online search and retrieval.

Global Relay migrates, imports and archives historical data from PST, MBOX, EML files (collectively, "Legacy Data") to Global Relay Archive.

Legacy Data such as historical email is often stored on disparate servers, backup tapes, CDs, DVDs, employee desktops and laptop computers, with multiple copies and no single source of indexing or access.  This poses a number of challenges for organizations:

## For Senior Management

Management requires control over, and independent access to, both current and historical messages. Electronic messages are part of your company's intellectual capital and must have centralized retention and deletion policies applied to them. Email and other message types are permanent records of 'who said what, when'. They can be used against you, or more importantly, used in your defense. They are a legally admissible 'business record'. Simply put, access to legacy messages is about risk management.

## For Compliance Officers

Compliance Officers have growing responsibilities and liabilities relating to the electronic communications of employees. Compliance regulations deem email and other message types to be forms of business communication that require regulatory monitoring and oversight.

## For IT Departments

IT departments are faced with a number of challenges relating to historical messaging.  These include finding and recovering email from backup tapes, CDs and failed hard drives, as well as controlling mailbox sizes and managing increasing email volumes.

## The Global Relay Solution

Global Relay has a dedicated team to consolidate and import your company's Legacy Data into Global Relay Archive. Once your company's data is ingested into Global Relay Archive, it is preserved for the length of time you specify.  Global Relay Archive allows searching across every type of archived message, providing a truly unified solution for electronic business record management.

# Security Overview

Each year, Global Relay engages KPMG to perform independent testing and validation upon its security, business and operational controls and report upon their findings. KPMG also conducts independent security penetration testing of Global Relay's Internet-facing systems and applications. The KPMG report provides customers with assurances and transparency into the high standards of Global Relay's internal controls, and how these controls truly differentiate Global Relay from other service vendors.

Specifically, the KPMG report, which is available upon request, provides extensive validation of Global Relay's security, business and operational controls related to:

- Physical Security — Safeguards governing data protection and data center controls.
- Change Management — Frameworks for guiding software development releases, operations and change control.
- Network Security and Availability — System architecture, redundancy, access and security.
- Processing of Message Data — Inbound message processing, secure storage, data center replication and end-user access.
- Data Import, Export and Deletion — Policies, procedures and methodologies for securely handling customer data.
- Security Policies and Standards — Policies and standards governing privacy and confidentiality.
- Personnel Policies and Procedures — Employee life-cycle management.
- SAML-Based Authentication — Verification of the security and correctness of the SAML authentication service.
- Software Security Testing — Automated and manual software testing for security vulnerabilities.

## Data centers

All Global Relay customer data is mirrored between two SOC-audited data centers. All hardware and software in the data centers are owned and operated by Global Relay. Global Relay has redundant connectivity providers with internal independent redundant BGP connectivity. Each data center is protected by two or more layers of mirrored active/active firewall security.

## Systems Security and Reliability

The technology that powers Global Relay message archiving and monitoring systems is second to none. Our systems have unmatched scalability and are able to index terabytes of data with no performance issues. A typical online search takes less than three seconds. This translates into unsurpassed productivity while conducting search, retrieval and monitoring activities, regardless of company size.

## Rock-Solid Reliability

Since its founding in 1999, Global Relay has never had a single incident of data loss. Our record is unmatched. We develop, own and operate our services on a fully-managed, Software-as-a-Services (SaaS) model.

## Encryption

All data archived with Global Relay has end-to-end security, encrypted with a dual encryption algorithm system using AES and RSA encryption keys, ensuring the highest level of data security available today. In addition, all customer data is time-date stamped and written to tamperproof storage to securely preserve authentic, evidentiary-quality copies of every message.  Global Relay Archive enables authorized security personnel to keep real-time controls on the business, personnel and archived data.

Global Relay assists firms in complying with FINRA Rule 8210 in connection with the encryption of information provided to FINRA in electronic form.

## Role Manager

Global Relay enables you to provide the appropriate access levels for every Archive user in your business. The Role Manager within Global Relay Archive allows precise, granular access and privileges over the amount of control each Archive user has. Global Relay Archive lets firms customize access rights for multiple levels of supervisors and reviewers, auditors, regulators, system administrators and standard users. This provides your firm with the confidence of knowing that each employee has exactly the appropriate privilege levels for reviewing others' messages, viewing audit trails, exporting data and managing users.

# Contact Global Relay

## 24x7x365 Customer Service:

Global Relay provides 24x7x365 technical support.

Reach a live person at any time:
866.484.6630
support@globalrelay.com

# Global Relay Locations

### New York

286 Madison Avenue
7th Floor
New York, NY
United States
10017

### Chicago

233 South Wacker Drive
84th Floor
Chicago, IL
United States
60606

### Vancouver

220 Cambie Street
2nd Floor
Vancouver, BC
Canada
V6B 2M9

### London

No. 1 Cornhill
London, UK
EC3V 3ND

+44.203.139.9064
Toll Free: 0800.032.9829

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