

Digital Archives Supervision Service



Rapidly Implemented Supervision Compliance

ARE MONITORING AND SUPERVISION OF E-MAILS AND INSTANT MESSAGING REALLY REQUIRED?

For broker-dealer firms, monitoring of e-mail and instant messaging communications is a crucial requirement to ensure compliance with NASD Rule 3010 and NYSE Rule 342. These rules stipulate that securities firms must establish procedures to monitor incoming and outgoing electronic communications relevant to their investment banking or securities business. These rules also require that firms provide reasonable supervision of communications, and that they keep auditable records of supervisory reviews and other monitoring.

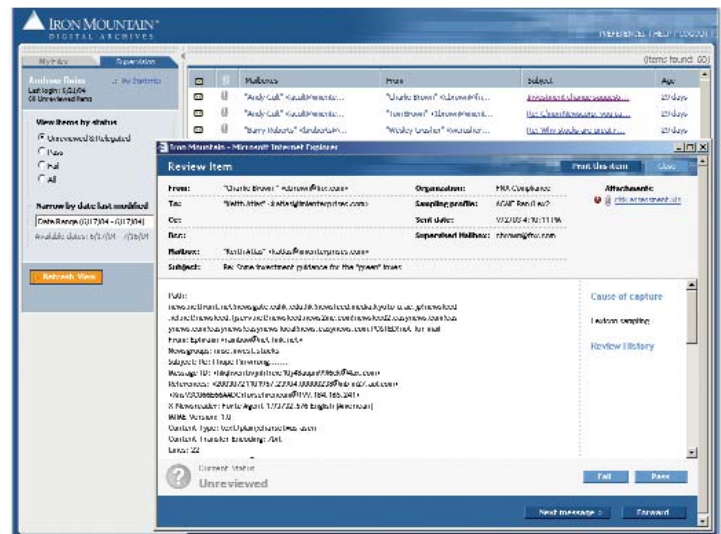
The monitoring and supervision of e-mail also makes sense for companies in other industries who need to ensure compliance with corporate e-mail and instant messaging policies in order to minimize their legal liability.

The Iron Mountain Digital Archives Supervision Service provides securities firms and other organizations with an outsourced solution that can quickly, seamlessly and cost-effectively meet these supervision compliance requirements. Iron Mountain's service offers a complete supervision solution with unparalleled:

- Adaptability
- Scalability
- Accountability

DESIGNED TO ADAPT TO YOUR BUSINESS PRACTICES

Iron Mountain understands that supervision processes need to easily adapt to your corporate environment. The supervision service model offers the ability to create a robust supervision process with tiered reviewers and a hierarchy of permissions.



Supervision is performed via a Web Interface.

Tailor the service to reflect your organization

Our flexible solution makes it easy to accommodate your standard compliance procedures. For example, the escalation process can easily be setup to match your standard operating procedures and compliance terminology.

Create supervision profiles to comprehensively manage your audience

Iron Mountain's solution enables you to create review profiles for particular user groups. Specifically, you can customize random sampling percentages, lexicon sampling, and escalation logic to monitor specific groups or individuals more closely.

Make life easier for your reviewers

Our supervision service provides your reviewers with easy to use yet extensive review management capabilities. The result – reviewers can be more efficient and effective.

SCALES WITH YOUR FIRM

Iron Mountain's Supervision Service can scale to thousands of mailboxes. Since volume may be a challenge for your reviewers, monitored mailboxes can be easily distributed for load balancing. Managers can be quickly notified of review backlogs or problem reviewers so that appropriate action can be taken.

COMPLIANCE INTEGRITY

The Iron Mountain Supervision Service includes multiple safeguards to ensure and demonstrate the integrity of your supervision compliance program.

Monitored messages are tamperproof throughout their lifecycle

Once a message is in the archive, it can't be modified. A detailed audit trail documents all actions taken against monitored messages.

Monitored items can NOT slip through the system

Once a message has been flagged for review, only one person at any time can be responsible for reviewing it. Additionally, once a message has been flagged, it has to be closed. These procedures ensure that all items have an owner and are managed through to full disposition.

Escalation tools help expedite the review process

Auto-escalation thresholds based on review item volumes or age, help ensure that monitored messages are reviewed in a timely manner. Manual escalation is also available for reviewers who may need to extend the reviewer community for guidance.

Flexible, robust reporting provides views of the entire monitoring process

Detailed reports provide information on supervision performance from an individual reviewer up through the entire supervisory enterprise. Reports include:

- Questioned, passed and total reviewed messages
- Reviewer activity and performance
- Escalations and relegations
- Lexicon and profile usage

**Iron Mountain supports Instant Message solutions provided by Akonix, FaceTime & IMLogic. Please refer to these providers for more specific information on Instant Message content and platform support.*

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RAPID IMPLEMENTATION

As an outsourced service, Iron Mountain offers broker-dealers instant compliance expertise and a fully equipped infrastructure. Our service enables you to implement a NASD and NYSE compliant supervision solution in a fraction of the time required by an in-house solution.

SEAMLESS INTEGRATION WITH IRON MOUNTAIN DIGITAL ARCHIVES

Our Supervision Service works in conjunction with Iron Mountain Digital Archives, providing a total compliance solution. Our E-Mail and Instant Messaging Archiving Services deliver assured e-mail and instant messaging records retention compliance for SEC Rule 17a-4, NASD Rule 3110, NYSE Rule 440 and CFTC Rule 1.31. See the e-mail and instant messaging platform systems below.

E-Mail Platforms Supported:

- Microsoft Exchange
- IBM Lotus Domino/Notes
- Unix Sendmail
- BloombergMail

Instant Messaging Platforms Supported*:

- AOL Aim
- Microsoft Messenger
- Yahoo Messenger
- IBM Lotus Sametime
- Reuters Messaging

GET COMPLIANT TODAY

Call Iron Mountain at (800) 899-IRON or visit us at www.ironmountain.com/digital.

With over 50 years of experience, more broker-dealers put their trust in Iron Mountain than in any other company.



Iron Mountain
745 Atlantic Avenue
Boston, MA 02111
www.ironmountain.com

Iron Mountain (NYSE: IRM) is the world's trusted partner for outsourced records and information management services.

Today, with over \$1.5 billion in annual revenues, Iron Mountain operates in major markets worldwide, serving thousands of customers in more than 82 markets in the U.S. and 63 markets in Europe, Canada, and Latin America.