



## Message Archive FAQ

**Question:** Why is Sprint Message Archive better than other email archive solutions?

**Answer:** Sprint Message Archive has three significant advantages that make it a superior message archiving solution:

- ▶ Message Archive uniquely intercepts all inbound and outbound email, ensuring that only appropriate messages are received, sent and archived. In conjunction with Sprint inbound and outbound message filtering, the message stream is filtered of unwanted content before being indexed and archived.
- ▶ Message Archive enables uninterrupted email continuity, leveraging the underlying archiving technology to provide a failsafe store of all messages sent and received. In the event that an organization's primary email system fails, end users can continue to receive, read, respond to,, forward and create new email through the rich Message Archive Web-based interface.
- ▶ Message Archive captures, indexes and archives multiple message types, including email, instant messages, Bloomberg. All messages are stored in the same database for easy monitoring, search and retrieval across all message types using the same easy-to-use, intuitive interface.

**Question:** What is the underlying technology of Message Archive?

**Answer:** The system is designed with proprietary technology to intercept, tag and index every message, which are stored in a highly scalable, highly available database. Through a rich Web-based interface, the customer interacts with the system, administration, and the contents of the archive.

**Question:** How is Message Archive compliant with various regulations?

**Answer:** Message Archive was designed and purpose-built with the most stringent and current regulations in mind. To comply with SEC Rule 17a-4 and NASD Rules 3010 and 3110, Message Archive captures all electronic communications for customers, uniquely serializes every message, archives those messages in fully redundant, live databases while also burning a third copy to an offline, non-tamperable media.

Unlike other solutions, Message Archive has compliance workflow tools integrated in the archive interface, not as a separate solution or system. Message Archive offers the same repository and compliance tools for monitoring across email, IM, and other electronic communication. Uniquely, Message Archive has built-in evidentiary reports that compliance officers can provide to demonstrate SEC & NASD compliance to auditors.

For a customer who must comply with SEC Book and Records requirements, Message Archive provides all of the necessary functionality to capture and archive every electronic message, ensuring that investment advisors maintain compliance.

For a customer facing other regulations, Message Archive provides flexibility for setting up content filters, monitoring and reporting while also creating a secure, complete and non-



tamperable archive. Additionally, the ability to leverage the information stored in the archive for customer or employee disputes, legal discovery, employee training, policy enforcement and content management offers additional value to customers.

**Question:** **How do various individuals access the system?**

**Answer:** An organization's employees can access the archive with a Web browser and Internet connection. When given a login and password, users can review, search, retrieve and restore any of their electronic communication in the archive. Access privileges to the archive can be granted to individuals for their personal communication archive, and to supervisors, management and legal counsel for other purposes. Through a completely customizable role and relationship structure, users are granted both system access and various rights and responsibilities within the Message Archive system.

With defined roles in the system, such as Monitor, Supervisor, Compliance Manager, Technical Administrator, Legal Counsel, HR Manager and Security Officer, the same web interface provides these users various modules for ad hoc searching of email and IM history as well as proactive supervision through random sampling and key word matching.

**Question:** **How do you ensure security for my organization's messages and prevent disasters?**

**Answer:** As a managed service solution, Sprint Message Archive is delivered via the Sprint network, a globally distributed, fully load balanced data center network that is secure, managed, active, resilient and trusted. Data centers in the Sprint Network are SAS-70 compliant, ensuring that archived messages are well protected and secure. SAS 70 requires a data center's network infrastructure and processes to pass rigorous third-party testing and demonstrate an environment with the processes and controls to effectively host sensitive data.

**Question:** **How does Message Archive help my organization with message management for my primary email system?**

**Answer:** You can better manage your email system with Message Archive by eliminating mailbox quotas and PST files. With Message Archive, you can establish a time-based message purge policy for your internal messaging infrastructure and take comfort in knowing that all messages are stored in the Sprint archive where users can search to find a message, retrieve selected messages from the search, restore messages to the primary email system or extract messages from the archive to be used in a lawsuit, regulatory audit or other purpose.

**Question:** **How do I restore old or previously deleted emails?**

**Answer:** Your technical administrator can search, retrieve and restore email lost or generated while you were down, and mass restore these messages to your primary mail server.

**Question:** **How do employees search for old email and other messages? What searches are available?**

**Answer:** Sprint Message Archive provides full text and indexed search capabilities to find messages based on type of message, date, sender, recipient, and content in the subject, body and more than 200 attachment types. Simple and complex searches using various operators can be conducted as well.



**Question:** Does Message Archive allow me to monitor email and IM for inappropriate use?

**Answer:** Yes, you can set up a number of filters or quarantines that enable you to monitor email and IM usage. Criteria such as sender, recipient, attachment type, attachment size, and content are just a few options. In addition, the Supervision module enables you to both randomly sample and keyword match email for proactive review.

**Question:** What types of filtering and monitoring are available?

**Answer:** Sprint has real-time and after-the-fact content filters that can prevent email from being delivered based on criteria you define, even alerting management of non-conforming behavior. After-the-fact monitoring of all email is included, also based on criteria you define, including keyword and key phrase matching and highlighting.

**Question:** How does Message Archive help me with legal discovery?

**Answer:** The Monitor capabilities allow for robust searching of email across your enterprise, including complex searches including date ranges, sender, recipient and content in any part of the message, including attachments. Operators exist in the search engine for incorporating AND, OR and NOT in the searches, as well as wild cards and root word searches.

**Question:** What other potential uses exist for the archived information?

**Answer:** Historical searches can be performed by those who seek content from old email or IM for situations such as e-discovery requests under lawsuits, evidence in internal organizational disputes, customer disputes, training purposes, and regulatory audit scenarios. Most customers gain tremendous increases in mail system performance by implementing Message Archive, thereby offloading excess message storage from the primary mail system.

**Question:** What reports do you offer?

**Answer:** Message Archive offers dozens of reports that provide information about your email and IM systems, activity and users, including compliance evidentiary reports. In addition, a robust event log reporting tool can extract any activity performed in Message Archive.

**Question:** Can you attest to my compliance?

**Answer:** A: Sprint has a letter of attestation that can be provided to customers to be filed with regulatory bodies. This letter certifies that Sprint provide services under SEC Rule 17a-4, NASD Rule 3010 and NASD Rule 3110. It also certifies that Sprint will be a third party provider of this information if a Message Archive customer is not forthcoming with requested information.

**Question:** Why should I use a managed service to collect and archive this sensitive information?

**Answer:** Using a managed service provider for archiving and compliance needs offers several important advantages. For compliance purposes, using a managed service provider offers a level of transparency to your operations that enhances your organization's compliance efforts. Additionally the compliance requirements stipulate that your organization designate a third party that will provide regulators access to requested information in audit scenarios. Audits are more easily managed and resolved when a managed service provider holds the requested data.

For business continuity and disaster recovery purposes, the safety and integrity of your data is improved by securely storing the data offsite via a trusted provider such as Sprint.