

Top 5 US Bank

Bank Achieves Compliance, Cuts Costs, and Improves Data Access with ZL Unified Archive

Benefits for UBS:

- FRCP compliance, E-Discovery, and Early Case Assessment
- GRID architecture with 220 virtual machines for scaling to 10 million messages per day and growing
- Search in seconds across repository of 1.24 billion messages
- Complete index recovery in hours ensures compliance with data access requirements
- SEC 17a-4 and NASD 3010 compliance with advanced review tools to reduce compliance costs

Background

The customer is a diversified financial services company that provides a broad range of retail banking and brokerage, asset and wealth management, and corporate and investment banking products and services. The customer is one of the largest providers of financial services in the United States, with retail and commercial banking operations in 21 states from Connecticut to Florida and west to Texas and California, and nationwide retail brokerage, mortgage lending and auto finance businesses. Globally, clients are served in selected corporate and institutional sectors and through more than 40 international offices.

Business Needs

- Support for 165,000 mailboxes in total receiving over 10 million email messages per day
- Compliance with SEC regulations 17a-4 and NASD 3010/3110, with full retention policies, and storage on WORM type media
- Improved email server performance with reduced storage load on primary mail store
- Timely migration of hundreds of TBs of data from legacy archives
- Rapid search across all existing email content

A Problem of Scale

The customer has over 165,000 mailboxes in total receiving over 10 million email messages per day. The volumes involved can quickly overwhelm many archiving systems, and a key evaluation factor was the ability to scale to meet today's requirements while remaining flexible enough to easily handle future requirements. Cost containment for storage hardware and management was also a key consideration.

Solution

After the evaluation, ZL's Unified Archive was chosen as the only solution to meet the combined requirements of scalability, flexibility, accountability, and ease of use.

Key differentiators, unique to ZL Unified Archive, included:

Proven GRID-based Scalability: ZL Unified Archive was originally designed



for and deployed in carrier-class environments, handling extremely high volumes, while providing high availability. The ZL UA platform scalability has already been proven in production deployments in carrier-class environments. Ingestion rates, an important metric, were shown to exceed 330 emails per second, easily surpassing industry records.

Exchange and Lotus Notes Integration: The bank has large deployments running on both Microsoft Exchange and Lotus Notes. In addition to integrating with both environments for compliance, storage optimization, and e-discovery in a single deployment, ZL Unified Archive can also quickly migrate email from one environment to the other, allowing the bank to address key business requirements. The solution's choice of open standards in storage format was also an important consideration for long-term access to archive data and not offered by competing solutions.

Straight-through Processing: All actions conducted against data in ZL are performed in a single straight through process where the data is opened and read only once, after which all actions are applied and the data is then closed. This preserves Digital Chain-of-Custody, reduces the chance of errors, and dramatically improved archiving throughput.

Powerful Search and eDiscovery: The client requires capture of all mail for e-discovery purposes. The ZL Search Engine is the performance leader in precision search, near real-time indexing and rapid recovery from

index corruption. The ZL Search Engine offers search characteristics similar to the legal industry's "Lexis-Nexis" search service, thus providing a familiar interface to the legal staff.

Advanced Storage Management: The bank has many "tiers" of storage devices. ZL UA enables it to shift data among tiers based on business needs and policies, thereby reducing storage costs significantly. This allows the bank to better utilize its storage infrastructure to achieve its cost targets.

Result

After an exhaustive, on-site evaluation where the leading email archiving solutions were put to the test, the chosen ZLTI solution, today provides the customer with SEC-compliant storage of email data by storing data to WORM media and also improved performance by replacing messages and attachments with lightweight stubs in the main mail store. ZLTI's indexing engine enables knowledge management of all mail and attachments by enabling complex word searches.

With a single-repository deployment of ZL UA, this Top 5 Bank complies with stringent SEC record-keeping requirements; increases search uptime; enhances mail server performance; reduces storage requirements; and improves data accessibility for end users, corporate reviewers, and legal teams with the industry's fastest search and discovery capabilities across a centralized enterprise archive.