



## **CASE STUDY**

### **Financial Industry Solutions SEC 17a-4, NASD Compliance**



**KOM Networks helps Credicorp  
Securities Investments (CSI) achieve  
SEC 17a-4 & NASD compliance**

## Case Study

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### A simple route to compliant Microsoft Exchange e-mail archiving

Credicorp Securities Investments (CSI) installs KOMworx software to simplify storage management and comply with SEC 17a-4

Integrating different vendor products and revamping existing application architecture can be a daunting task, and it kept Credicorp Securities Investments (CSI) of Miami searching for over 6 months to find the ideal storage management solution to implement SEC 17a-4 and NASD compliance.

CSI, a subsidiary of Credicorp—the largest financial services holding company in Peru with total consolidated assets of \$9.1 billion, and closely identified with its principal subsidiary, BCP, the country's largest bank—needed a solution that would archive and protect data beyond their existing hard disk storage. Space constraints ruled out the possibility of adding server hardware, and capital costs for reconstructing the data center were deemed prohibitive.

The goal was to find a cost-effective storage solution that would dovetail into existing Mobius Management Systems' E-mail management software, and support secure archiving to WORM media.

CSI chose KOM Networks' KOMworx software that provides a policy based and dynamically managed ILM solution. KOMworx Compliance software was ideally suited for integrating a 'virtual volume' behind Mobius' ViewDirect® software, transparently capturing and archiving e-mails in an unalterable, protected format to either a hard disk or optical storage on a jukebox.



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In addition to facilitating their compliance requirements, KOMworx provided CSI with a disaster recovery solution by giving them the ability to store data on portable media. Using the KOMworx Compliance e-WORM++ feature, collected data is archived to WORM disk storage as well as replicated to a WORM optical media, enforcing record retention policies. Data is protected and maintained on write-once WORM storage, satisfying the most stringent regulatory requirements. The process is automated, seamless and transparent with virtually no impact on performance, ensuring data is secure and readily available.

Another key concern for CSI was ongoing access to technical support. Given the time sensitive and critical nature of the financial sector, KOM Networks' global 24x7 live support regardless of how minor the problem may be, ensured the level of service CSI needed.

KOM Networks collaborated with Mobius to stage the solution and create the blueprint. The ViewDirect Solution was installed and configured by CSI with help from Mobius over the phone. Then the KOMworx software was installed on the Windows Server in minutes and the complete solution in place within 3 hours. "The simplicity of working with KOMworx to create a secure and compliant storage solution combined with the flexible e-mail archiving, classification, storage, and retention rules provided by ViewDirect E-mail Management, proved to be an excellent solution for CSI." commented Miguel Rodriguez product manager at Mobius.

"KOMworx has allowed CSI to implement a proactive, long-term and comprehensive compliance strategy managing data in accordance with the SEC 17a-4 and NASD regulations," said Kamel Shaath, Chief Technology Officer of KOM Networks. "KOMworx Compliance transparently archives data to an unalterable WORM disk storage, quickly producing data on-demand meeting government regulations for audits and legal requirements."



*"KOMworx Compliance has helped us comply with regulations and manage data by moving files to the most cost effective storage device automatically, saving us on capital and operational costs."*

"SEC regulations have been a major concern for us at CSI. With the implementation of KOMworx and ViewDirect E-mail Management we are able to archive and manage data in an efficient manner while maintaining SEC Compliance," said Bruno Ghio, General Manager of CSI. "KOMworx Compliance has helped us comply with regulations and manage data by moving files to the most cost effective storage device automatically, saving us on capital and operational costs."



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