

## EMC EmailXaminer

### Monitor electronic communications to comply with NASD regulations and corporate policies

#### The Big Picture

- Monitor e-mail and instant messaging content to promote compliance with NASD regulations and corporate policies
- Lower risk of unethical, inappropriate, or illegal e-mail usage
- Record supervisory actions, providing auditable proof of compliance
- Improve productivity for compliance supervisors and reviewers

EMC® EmailXaminer® is an e-mail and instant messaging content monitoring and supervision solution that helps organizations comply with National Association of Securities Dealers (NASD) Rules 3010 and 3110 and corporate e-mail policies. NASD Rules 3010 and 3110 compel brokerage firms and securities dealers to establish procedures for monitoring electronic communications relevant to their investment banking and securities businesses. These procedures must include reasonable communications supervision and ensure that auditable records of supervisory reviews are kept. Organizations in non-regulated industries, although not subject to NASD rules, may also wish to enforce e-mail and instant messaging policies designed to prevent unethical and illegal electronic communications.

#### Review messages based on flexible business policies

EmailXaminer enables organizations to define business policies that determine which messages will be *sampled* or chosen for review. Business policies can address sampling methods, such as random sampling or lexicon matching, and addressing methods, such as inbound or outbound, which can then be applied to a particular review group. For example, a business policy can flag all outbound messages from brokers that include the terms *recommend* or *tip*.

#### Improve supervisor and reviewer productivity

EmailXaminer enables supervisors to create and manage review groups as well as assign reviewers to each group. Reviewers use an advanced interface to see exactly why a message was flagged for review, and then code the message as needed; for example, the message can be coded *OK* or *Escalate to supervisor*. Easy navigation to highlighted text in both the message body and attachments clearly indicates the content and business policy that caused the message to be flagged. Flexible display options can organize messages by review group, escalated messages, and more.

#### Provide proof of compliance with comprehensive reports

EmailXaminer reports meet the NASD 3010 requirement that organizations keep auditable records of supervisory reviews. Reports can cover review groups, configurations, business policy activity, reviewer activity, and message details. Organizations can also use these reports to assess business policies and reviewer effectiveness.

## The EMC e-mail archiving solution

EmailXaminer is a complement to EMC's e-mail archiving software. Combined with EMC Centera® content-addressed storage, companies can cost-effectively store messages for long-term retention on non-rewriteable, non-erasable storage media. The solution archives Microsoft Exchange, Lotus Notes/Domino, UNIX Sendmail, and instant messaging.

## About EMC

EMC Corporation (NYSE: EMC) is the world's leading developer and provider of information infrastructure technology and solutions that enable organizations of all sizes to transform the way they compete and create value from their information. Information about EMC's products and services can be found at [www.EMC.com](http://www.EMC.com).



**EMC Corporation**  
Hopkinton  
Massachusetts  
01748-9103  
1-508-435-1000  
In North America 1-866-464-7381  
[www.EMC.com](http://www.EMC.com)

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