

KOMWORX®

Compliance and Archiving Solutions For the Financial Services Industry

Highlights:

- ✓ **Compliance** with SEC 17a-4, NASD, SOX and other regulations by ensuring file level data authenticity on Hard Disk and compliant unalterable WORM media
- ✓ **Data Protection:** Provides advanced data security features including enhanced file and directory protection, WORM Archiving on Hard Disk and Optical Storage Disk
- ✓ **Scalable:** KOMworx scalable design lets you 'grow as you go' expanding from a few gigabytes to 500,000 TB without disruption of application or data availability
- ✓ **Single Namespace:** Consolidates different storage resources into an easy to manage 'Virtual Volume' represented and accessible using a single namespace
- ✓ **Simple Management:** Simple point and click Central Management Console allows total control of storage resources regardless of their brand, inter-connect or location

The Challenge

As a financial institution or a broker dealer, you are already being taxed by heavy guidelines and are facing increasing regulatory burdens due to new legislation. Investment banks, broker dealers and insurance companies all must adhere to strict government regulations concerning compliance or risk legal exposure and significant fines. In fact, according to The American Bankers Association the annual cost of being compliant runs "in the billions of dollars".



The Solution

KOM Networks financial services solutions help you meet today's compliance challenges. KOMworx enables financial institutions and others to comply with regulations including SEC, NASD and SOX to help you mitigate risk, simplify data management while improving your operational efficiencies and optimizing your existing storage resources.

STORAGE, the way you want it...

KOMworx uses Fixed Content Hard Disk Archiving (e-WORM), Hard Disk Archiving combined with WORM permanence (e-WORM++) and data shredding technologies to satisfy data integrity and authenticity requirements for SEC, NASD, SOX and other financial regulations. KOMworx automatically archives files and data using its policy based ILM archiving and retrieval functionalities to ensure compliance with corporate and financial industry retention policies.

Files are archived on tamper-resistant storage (hard disk and/or optical media) transparently and allow investigators to conduct quick and efficient investigation and retrieval of information. In addition, the system provides a full audit trail of activities including archiving and access which satisfies SEC 17a-4, NASD 3010 and 3110 and Sarbanes Oxley requirements. KOMworx protects customers' sensitive financial and ensures consumer privacy protection in accordance with the Gramm-Leach-Bliley Act.

KOM Networks—Pioneers in Data Archiving

KOM Networks is the world leader of innovative Storage Management Software solutions. Pioneers of Data Protection & Retention, KOM Networks' products provide Compliance, Archiving, and Information Lifecycle Management (ILM) to over 10,000 installations globally.

KOM Networks products consolidate diverse storage devices into common resource pools to help simplify storage management and ensure policy based automated data migration. KOM software also extends simplified storage management to third party applications such as E-mail archiving, Enterprise Content Management (ECM) and Document Management Systems (DMS).

The KOMworx Advantage

KOMworx securely archives your financial files and digital assets using advanced cryptography techniques and certified digital signatures. KOMworx addresses the SEC Rule 17a-4 mandate on data permanence with disk-based, SEC-compliant protection for all types of financial data—structured or un-structured. Your data is secure as file retention and protection policies are transparently enforced, eliminating deletion, modification and access until retention period has expired.

KOMworx enables financial compliance and optimizes data management by storing and protecting the right data on the right platform at the right time. Once the system administrators set the file lifecycle policies, files are automatically migrated to appropriate storage devices without impacting applications, users or performance, allowing financial institutions to develop and implement efficient and cost-effective storage solutions.

KOMworx minimizes both capital costs and operating costs by making use of your existing storage devices. KOMworx minimizes capital costs by supporting non-proprietary hardware and delivering more value from the hardware investment through maximizing storage utilization. Operating costs are reduced by efficient load balancing between storage devices and leveraging existing network infrastructure.

For more information, please visit our website at www.komnetworks.com or contact us at info@komnetworks.com

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