

INDUSTRY FOCUS: FINANCIAL SERVICES

MessageGate provides a proven solution designed to accommodate highly regulated industries like financial services and their dependence on electronic communications. The broad solution provides a means to secure the messaging environment and a platform to deploy and manage critical regulations and corporate policies.

HOW MESSAGEGATE HELPS FINANCIAL SERVICES COMPANIES

- Enforce Gramm-Leach-Bliley (GLB) provisions by safeguarding personal financial information and preventing identity theft/account takeover activities.
- Ensure client lists, research materials, pricing sheets, and other forms of intellectual property are not intentionally or inadvertently distributed via email.
- Ensure proper disclaimers are used to disclose holdings and recommendations.
- Implement proper informational partitions separating research & investment banking, public-side & private-side personnel and control external information flow related to pending deals.
- Adhere to SEC 17a-4 by archiving and retaining only “business as such” related emails saving storage space.
- Intelligently categorize messages for enhanced supervision (NASD 3010) and improved investigation, retrieval, and discovery activities.
- Reduce operational risk related to malicious attacks and non-compliant usage and adhere to the tenants of the Basel II accord.
- MessageGate can be the supervision system, can be deployed in front of the supervision system, or make the supervision system in place better by acting as the intelligence layer to separate what should be reviewed, what should be archived, and what should be discarded.

EXAMPLE: MUTUAL FUND COMPANY

The company must comply with Gramm-Leach-Bliley (GLB) regulations covering the use and sharing of customer information. Of specific concern is e-mail correspondence containing client Social Security Numbers (SSN). However, the company had no way of monitoring or controlling e-mails sent that contain this type of information exposing them to possible legal liability and regulatory penalties. The company needed a solution that could analyze all outbound email and intercept those containing SSNs for supervisory review.

MessageGate identifies private/protected customer information in e-mails and attachments through a variety of techniques including regular expressions, wildcards, and pattern recognition. Once identified, the suspect e-mails are intercepted and direct to a supervisor for review.

About MessageGate

MessageGate is the leader in enterprise-class compliance and messaging security solutions for large organizations. The MessageGate technology has been deployed by some of the largest companies in the world helping them to monitor and control their messaging with respect to corporate policies and regulatory compliance. MessageGate empowers large, complex organizations to proactively monitor, understand, and control the risks and exposures created by the pervasive use of e-mail and other types of messaging.