

LiveOffice AdvisorMail

The Industry's Most Trusted Email Archiving and Compliance Solution



LiveOffice®
AdvisorMail

AdvisorMail is Better Than Ever!

Email Compliance Redefined

Our new and improved version of LiveOffice AdvisorMail redefines compliance by simplifying email surveillance, eliminating time-consuming message reviews and safeguarding your firm's reputation. We have preserved all of the rich functionality in the previous version, while simplifying and shortening the time it takes to review emails and IMs. We've also taken the common day-to-day reviewing and searching tasks your firm faces and reduced the number of clicks for each command.

Added benefits for users include:

One-Click Review

- **Next-click review** – quickly jump to the next violation in email messages and attachments with only a single mouse click
- **Right-click actions** – choose commands by simply right clicking your mouse or using the Message or List Review Bars
- **Advanced message filters** – easily sort, search and select emails, using advanced message filters

Intuitive Interface

- **Customized views** – shorten review time by choosing one of three convenient views: Single Message View, Snippet View or List View
- **Familiar, Microsoft Outlook-like look and feel** – shorten your learning curve with a familiar, easy-to-use interface
- **User preferences** – set your preferred starting folder (e.g., Post Review), date range and message view

Easy Administration

- **Whitelist editor** – easily whitelist keywords and phrases frequently found in disclaimers to reduce false-positive violations
- **Improved mass editors** – add addresses, move users to other offices, modify rules and more with just a couple mouse clicks
- **Tiered supervision** – push out your corporate lexicon (list of violating keywords/phrases) to all remote offices with only one command

Experience You Can Trust

LiveOffice AdvisorMail is the leading email archiving, compliance and discovery solution for financial services firms of all sizes. With more than 10 years of experience, billions of messages archived and 20,000+ audits passed, AdvisorMail is the most trusted email compliance system in the industry today.

We serve 65% of the nation's top independent broker-dealers as well as thousands of RIA firms and have a 97% client-retention rate. Every email we handle benefits from our tried-and-true email platform built on a multi-million dollar infrastructure, so your data is safe and always available.

Comprehensive Solution Meets Multiple Needs

Archive

- Capture, index and retain every email, attachment and instant message (IM) sent or received
- Protect data with tamper-proof WORM (write once, read many) storage
- Retain messages based on your email compliance and archiving policies

Review

- Use the pre-populated lexicon and random sampling to enhance monitoring and supervision
- Monitor outbound email for potential theft of company information and intellectual property
- Accelerate legal discovery and HR inquiries via real-time search functionality

Comply

- Meet all FINRA/SEC requirements and more
- Download data and fulfill audit requests, including full audit support and attestation letters
- Enforce legal holds and protect attorney-client privileged communications

Software + Service = SaaS

Our software-as-a-service (SaaS) archiving solution seamlessly integrates with existing on-premise email systems as well as hosted email services. It's a completely web-based service, so there's no need to install any hardware or software on premise, eliminating expensive upfront licensing fees, software upgrades, lengthy implementation cycles, ongoing maintenance and support costs. This allows you to shift the IT management burden to LiveOffice, which, in turn, helps you increase productivity, lower IT costs and mitigate legal and regulatory risks.

In addition to significant cost savings, our SaaS solutions also offer:

- **Fast deployment:** You can deploy the service within days, rather than weeks or months.
- **Enterprise-class infrastructure:** You benefit from solutions delivered via secure, geographically dispersed data centers built for always-on reliability.
- **Putting the "service" into software-as-a-service:** You receive expert support provided by a dedicated Client Services team at no additional cost.
- **Continuous upgrades:** You never have to worry about an upgrade again. Any enhancements and new functionality are included in your standard monthly fees.
- **Uptime guarantee:** You require an archiving solution you can rely on, so you can access it anytime you need it. No one understands this requirement better than we do. Our network operations team stays up around the clock to ensure that your data is always available, and we are dedicated to meeting or exceeding our 99.99% uptime guarantee.

Includes Bloomberg, Reuters & mobile device messaging!

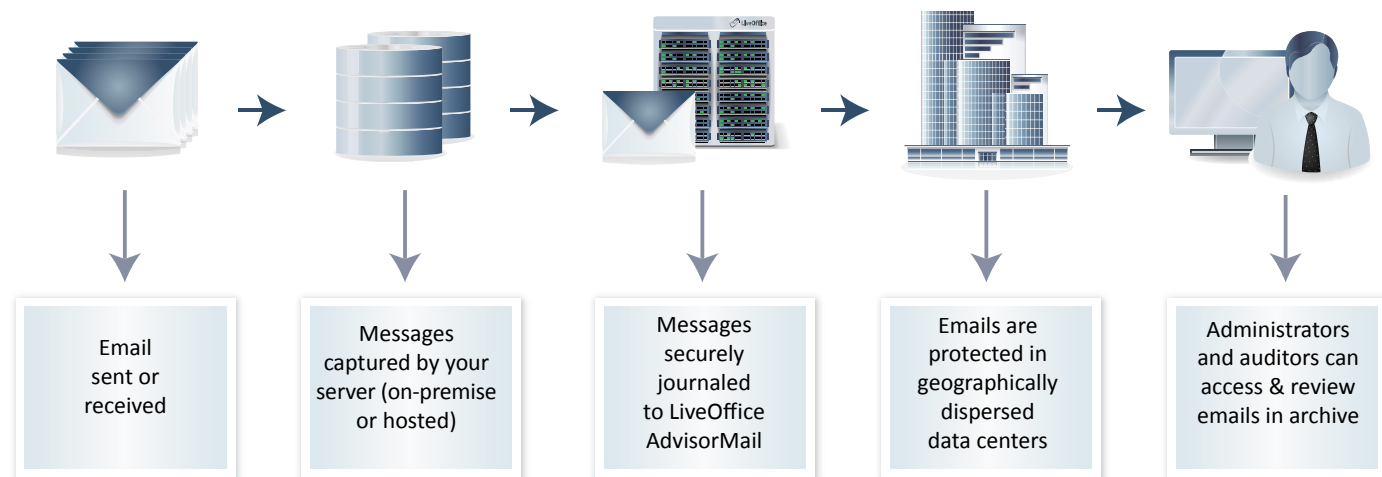


How It Works

AdvisorMail automatically captures, indexes, and archives all inbound, outbound and internal emails, attachments, IMs, Bloomberg, Reuters and mobile device communications. Administrators and designated reviewers can monitor email and IM communications and search the archive quickly and easily as needed with an intuitive user interface and comprehensive suite of supervisory tools. All messages are marked with a time-stamped audit trail that documents the review process, and auditors may attach notes to messages anytime. AdvisorMail is flexible and scalable, allowing you to customize it to meet your firm's specific needs.

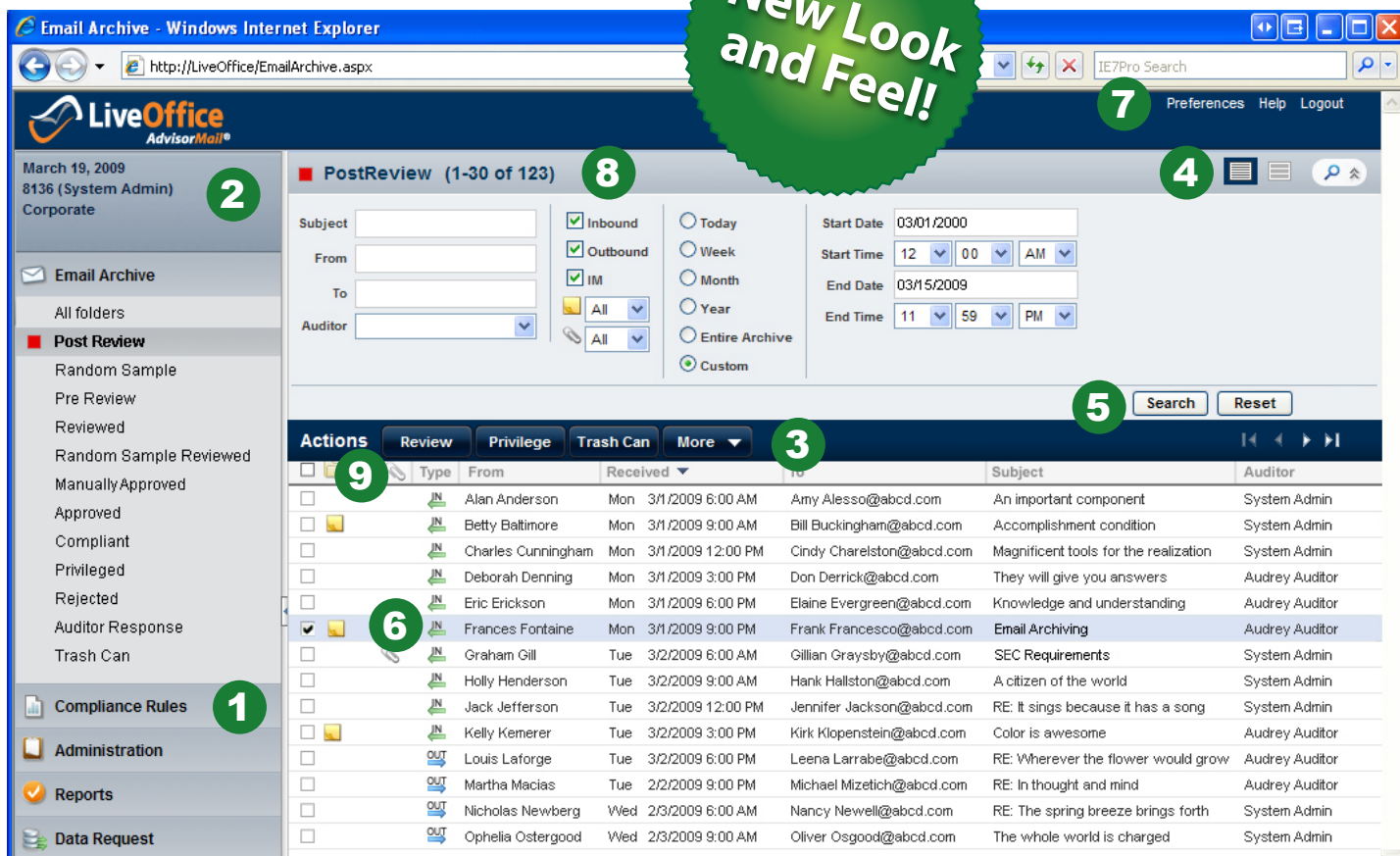
AdvisorMail works seamlessly with your in-house email system or with LiveOffice's hosted email options. We offer a variety of add-on email services to suit your needs, including Hosted Exchange 2007, Hosted BlackBerry Enterprise Solution and Microsoft Exchange ActiveSync for Windows Mobile and Apple iPhone users.

AdvisorMail Configuration



Intuitive User Interface

If you can open an email, you can us AdvisorMail.



1 Tabular Menus

- Compliance Rules—establish review policies
- Administration—setup users, offices, permissions
- Reports—Auditor, Office
- Data Request

2 User and Office

- Today's date Current Login
- Office assigned

3 List Review Bar

- Adjusts options for folder or menu
- Menu actions affect all

4 Display View

- List
- Single Message
- Snippet

5 Search

- Advanced Search lets you quickly find emails based on a wide variety of search criteria (filters)
- Toggle to Quick Search for basic searches

6 List View

- Click column heading to sort alphabetically or by date
- Resize column widths
- Multiple ways to select messages
- Identify messages with

7 Start Preference

- Date range
- Default view
- Default folder
- Number of items in list

8 Folder Status Bar

- Current folder
- Items per page
- Total items

9 Four ways to select messages(s)

- Click the box next to message
- Control-click (non-sequential messages)
- Shift-click (sequential messages)
- Click above list on left side to select all emails on none

AdvisorMail Partners






AdvisorMail provides archiving and compliance solutions to 65% of the nation's leading independent broker-dealers and is the #1 choice for financial services organizations of all sizes.

Get Started Today! It's Quick, Easy and Won't Disrupt Your Daily Operations

- Select the AdvisorMail configuration that's right for you
- Provide us with a list of the email and IM addresses you'd like archived
- Select your preferred method for transferring historical data
- Schedule a training time that's convenient for you

LiveOffice AdvisorMail Features

Archive	
Secure and Automated Message Capture	AdvisorMail automatically captures all sent and received messages without user intervention and securely transmits them to multiple LiveOffice data centers for retention, using TLS or VPN encryption.
Single-Instance Storage	Once archived, all email is de-duplicated and stored as a single instance to optimize storage space and streamline your searches.
Tamper-Proof WORM Storage	Tamper-proof WORM (write once, read many) storage meets the strictest regulatory compliance requirements.
Unlimited Storage	Unlimited storage eliminates the need to worry about long retention periods and compounding storage costs. You can customize your retention policies and store an unlimited amount of data as long as you require for no additional cost.
Mirrored Architecture	All email messages and attachments are stored in real time and then replicated to LiveOffice's multiple, geographically dispersed SAS-70 Type II Tier-4 compliant data centers.
Spam-and-Virus Protection	AdvisorMail employs multiple layers of protection to evaluate, detect and block spam emails and viruses, using blacklisting, whitelisting, profiling and rules-based scoring, reverse DNS lookup and multilayer virus scanning.
Review	
Monitoring/Supervision	AdvisorMail offers a number of tools to streamline the supervisory process, including automatic flagging of suspicious emails for auditor review. Multi-tiered review structure supports workflow between compliance officers, Offices of Supervisory Jurisdiction (OSJs) and branch managers.
Customized Views and User Preferences	AdvisorMail's Microsoft Outlook-like look and feel reduces your learning curve with a familiar, easy-to-use interface. You can shorten review time by setting your preferred starting folder (e.g., post review), date range and message view, and choosing one of three convenient views: Single Message View, Snippet View or List View.
One-Click Review	AdvisorMail's rapid, one-click review features help you speed through the review process. Next-click review allows you to quickly jump to the next violation in email messages and attachments with only a single mouse click, while right-click actions let you choose commands by simply right clicking your mouse.
Advanced Message Filters	AdvisorMail's advanced message filters help you easily sort, search and select specific types of emails, attachments and IMs.
Advanced Administration and Reporting	AdvisorMail's advanced administration and reporting tools include pre- or post-review modes, random sampling, customizable rules for specific domains or email addresses and summary reports.
Random Sampling	AdvisorMail allows auditors to conduct random sampling to meet regulatory compliance requirements. This feature quickly compiles a random chosen set of messages for review.
Customizable Lexicon	Drawing from more than 10 years of experience in the industry, AdvisorMail has built a custom lexicon of keywords and phrases to specifically meet financial services compliance. Firms can also add words to their lexicon as needed.

“ A message archiving system that can index and store records is an important component of an overall message management strategy, particularly in heavily regulated industries, such as financial services. ”

– Osterman Research

Comply

End-to-End Audit Support	AdvisorMail's compliance experts provide complete audit support, including attestation letters, and have a 100% audit success record.
State-of-the-Art Security	LiveOffice's enterprise-class infrastructure meets the highest industry standards for secure data storage, including SAS-70 Type II, and guarantees the authenticity of your archived data.
Authentication and Granular Permissions	Users authenticate using SSL to login to AdvisorMail, ensuring secure access to the archive. AdvisorMail has two distinct permission levels: Administrator (full access) and Auditors (supervisory rights for selected mailboxes).
Tiered Supervision	AdvisorMail's tiered supervision feature allows you to push out your corporate lexicon (list of violating keywords and phrases) to all remote offices with only one command.
Whitelist Editor	AdvisorMail's whitelist editor lets you easily whitelist keywords and phrases frequently found in disclaimers to reduce false-positive compliance violations.
Mass Editors	AdvisorMail's mass editors allow you to quickly and easily add email addresses, move users to other offices, modify rules and more with just a couple mouse clicks.
Quick-and-Easy Search, Retrieval and Export	Quickly and easily search and retrieve emails and attachments to fulfill audit and e-discovery requests. Once you have selected all emails related to a specific need, you can export them on demand.
Disaster Recovery	AdvisorMail's disaster recovery protection employs multiple, geographically dispersed SAS-70 II Tier-4 compliant data centers to ensure that your data is not lost when disaster strikes.
Legal Holds and Attorney-Client Privilege Classification	If your company ends up in litigation, you can place legal holds on specific communications (based upon search criteria) to safeguard your staff or automated deletion policies from inadvertently deleting case-relevant emails. You can also mark attorney-client privileged communications and exclude them from e-discovery requests.
Time-Stamped Audit Trail	AdvisorMail's search log captures the auditing activities of your reviewers, so administrators can ensure that they are conducting appropriate reviews and meeting compliance requirements. Auditors can also add notes to messages as needed.
Policy-Driven Retention and Destruction	AdvisorMail retains your emails and attachments as required to meet your company's specific retention or regulatory requirements. We also purge and destroy older email stores based on your custom criteria (e.g., any emails seven or more years old).

Optional Add-Ons

Hosted Exchange 2007	LiveOffice offers Hosted Exchange 2007 to meet your day-to-day email needs. It works seamlessly with AdvisorMail and is accessible from any Internet-connected computer.
Personal Archive	LiveOffice offers Personal Archive to simplify mailbox management and reduce skyrocketing storage costs. End users can access their own personal archives and retrieve lost or previously deleted email messages.
Mobile Email	LiveOffice offers Hosted BlackBerry Enterprise Solution, which complements our Hosted Exchange 2007 service and provides push-based access to email, calendars, contacts, tasks, notes and web applications with real-time synchronization.
Email Encryption	AdvisorMail enables users to selectively encrypt outgoing messages and attachments containing sensitive information, using end-to-end, 128-bit, SSL encryption.
Business Continuity	AdvisorMail's business continuity service gives you access to your email during unplanned downtime and ensures you can maintain communications with your employees and clients.

About LiveOffice

LiveOffice is the number-one global provider of cloud-based email archiving, email compliance, email discovery and email continuity solutions, with more than 18,000 clients and a 97-percent client-retention rate. Founded in 1998 and backed by leading private-equity firm Summit Partners, the company has more than 200 employees with deep experience in messaging, including executives from Symantec, Microsoft and Cisco. For more information, call **800.374.2032** or visit www.liveoffice.com. Visit the LiveOffice Blog at <http://blog.liveoffice.com> or follow us on Twitter at <http://www.twitter.com/liveoffice>.