

The Sun™ Compliance and Content Management Solution



An end-to-end solution for Records Compliance Management

Key highlights

- Address regulatory compliance, corporate governance, and legal discovery/litigation support requirements
- Handles most types of data, files, and objects that must be retained, managed for an extended period of time, and purged based on corporate policy
- Reduce administrative tasks, server infrastructure, and storage costs
- Improve operational efficiencies while reducing risk with a complete end-to-end solution
- Create policy-based archiving in a heterogeneous environment
- manage with integrated search and supervision capabilities
- Enforce retention policies and on-demand access
- Provide continuous automated backup with fast and easy recovery
- Rapid retrieval of transparently migrated files
- Centralized and controlled administration

Managing Disparate Data to Help With Compliance

With the emergence of new laws and regulations, businesses are looking to reduce the risk associated with managing exponentially growing and disparate document and data types, while reducing operational overhead and retrieval costs associated with legal discovery support.

Solution Overview

Designed with that in mind, the Sun™ Compliance and Content Management Solution provides a single point of access to and efficient management of most types of electronic records—unstructured data such as e-mail and instant messages, semi-structured data such as XML-based documents and Web content, and structured data such as Enterprise resource Planning (ERP)-generated documents—greatly simplifying the way organizations in regulated and non-regulated industries deal with information. At the IT infrastructure level as well as the compliance and oversight level, the content is present with supporting contextual information within a robust application framework.

For example, by automatically moving attachments from the e-mail servers to a managed, robust archive, the Sun Compliance and Content Management Solution is designed to reduce the storage and server infrastructure and associated support costs inherent in managing a large and growing e-mail system. Instant messages are also added to the archive, providing a knowledge pool for retrieving them in context to the e-mail and other records stored there. The archive secures and stores records while conforming to regulatory and information lifecycle management policies set by the organization.

The Web-based Sun Compliance and Content Management Solution provides a policy-driven storage and archival management system that is configurable across many data types, media, and devices—creating flexible options for distributed environments. It is designed to easily conform to corporate technology standards with its support for multiple e-mail, instant messaging, and document formats.

A cost-effective, single point of access to and efficient management of your documents and data.

The Global Regulatory Environment

Designed with businesses operating in regulated industries in mind, the Sun Compliance and Content Management Solution supports the organizations' policies governing storage and retrieval standards for legal compliance. As regulations grow more complex, companies struggle to find ways to address regulations such as those listed below and comparable regulations worldwide:

- US: SEC CFR Part 240 17a-3 and 17a-4
- US: NASD 3010
- US: FDA 21 CFR, including Part 11
- US: Sarbanes-Oxley
- US: Telecommunications CFR Title 47 Part 42
- UK: Financial Services Authority
- France: Commission des Operations de Bourse
- Australia: National Archives of Australia

Content Management Architecture Overview

The Sun Compliance and Content Management Solution highlights Sun's commitment to, and expertise in, the financial services industry. We understand the complexities of working in one of the most regulated industries, in which organizations must deal with some of the most stringent regulations.

In the standard approach when the system is installed in a compliance implementation, the components of the solution are organized into four layers. This configuration varies slightly for operational installations.

Content Layer

The Content Layer allows for the capture of messages records on platforms from most applications, for example email from platforms such as SunOne Messaging, Microsoft Exchange, Lotus Notes, and others, as well as 250 file types such as Microsoft Office documents, StarOffice™ documents, Adobe PDF, PowerPointSAP, etc.

Archive Layer

The purpose of the Archive Layer is for indexing and compressing of the various objects imported into the Archive Server from the Capture Layer.

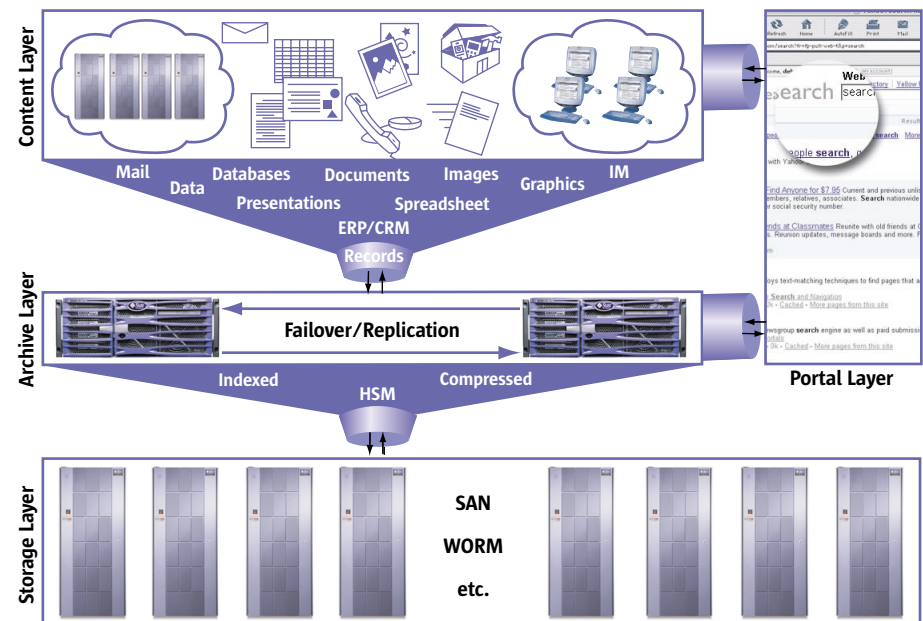
Portal Layer

The Portal Layer is a Web-based solution that allows browser-based access to the information stored within the archive. In addition to search, query, and application driven access, the Portal Layer supports the ability to provide secure, role-based access to the information users need.

Beyond viewing the information, the Portal Layer allows users to print, export, restore, and interact with information in a variety of ways. The Portal Layer also allows for the creation of highly customizable Web applications and integration with other key systems through Web-services.

Storage Layer

The purpose of the Storage Layer is for the physical storage of the actual archival records. This layer can be disk, WORM, S-ATA, or tape. The Storage Layer allows for the migration of archival data from expensive storage (disk cache) to less expensive media (S-ATA), deep storage (Tape) and eventual removal and destruction of the data from an organization.



Architecture Overview

A Complete Solution to Address Your Needs

The easy-to-use, integrated solution includes operational objectives such as creation of policy-based archiving, integrated search, integrated supervision, enforceable retention policies, on-demand access, continuous automated backup, fast and easy recovery, transparent file migration, simple installation, rapid retrieval, and centralized administration.

Features	Functions	Benefits
Compliance	Addresses document archiving, retention, and management related to organizations' regulatory compliance, corporate governance, and litigation support policies	<p>Preserves content in non-rewritable, non-erasable format to address authenticity</p> <p>Automatically verifies the quality and accuracy of the archiving process — process chain of custody</p> <p>Creates end-to-end platform to address the organization's evolving regulatory compliance, business governance and litigation support requirements</p> <p>Secure document retention process to address the specific requirements of SEC 17a-4</p> <p>Supervision of electronic communication (e-mail and IM) to address the specific requirements of NASD 3010</p> <p>Legal hold and case management to address spoliation of evidence</p> <p>Secure destruction of records</p>
Cost-effective storage	Maintains the data, meta-data, and audit logs within serial units on the file system itself. Data remains fully accessible via Web-services interfaces, providing easy integration with and into other key systems	<p>Storage on appropriate media based on the value and accessibility requirements of the records</p> <p>Can be configured to archive based on timed frequencies to specific criteria</p> <p>Seamless to user and application layer</p> <p>Search archived records from single Web-based portal</p>
Search	Single portal view to all archived information	Provides the ability to conduct federated search across all records in the archive in a single query
Retrieval	Addresses document retention related to an organization's regulatory compliance, corporate governance, and litigation support policies	<p>Archived records are retrieved in their original format to address authenticity</p> <p>Graphically maps relationships between initial record and subsequent updates</p> <p>Displays, prints, or downloads search results to XML, Excel, and other formats</p>
Straightforward Integration and Implementation	Proven, pre-integrated solution that helps customers speed implementation	<p>Integrates with the enterprise's environment and supports High Availability and Disaster Recovery architectures</p> <p>Supports heterogeneous storage environments including WORM Media (tape, CD/DVD, magneto-optical) and WORM Disk, providing Hierarchical Storage</p> <p>Solution pre-tested and configured</p>
Indexing	Maintains the data, meta-data, and audit logs within serial units on the file system itself. All of the data remains accessible via Web-services interfaces, providing integration with and into other key systems	<p>Supports full-text indexing for all records in the archive including more than 250 file types plus multi-language support</p> <p>Supports groups and distribution lists</p>
Administration	Allows businesses to establish a centrally administered and flexible policy based on file characteristics such as size and delivery date, significantly reducing the time spent on data backup	<p>Permits the mapping of logical volumes to physical media</p> <p>Provides a server-driven policy process that is controlled by IT staff, transparent to end users and requiring no desktop software installations</p>
Scalability	Helps organizations to build a scalable platform to address small (2,000 end users) to very large (greater than 100,000 end users) records retention and management requirements based on the organization's compliance strategy	<p>Enterprise scalability for global organizations' needs</p> <p>Support for multiple client operating systems and hardware platforms</p>

About Sun Microsystems

Sun is a leading, worldwide provider of products, services, and support solutions for building and maintaining network computing environments. Sun sells scalable computer and storage systems, high-speed microprocessors, and a comprehensive line of high-performance software for operating network-computing equipment. Sun also provides a broad range of solutions and services including support, professional services, and education. Sun is committed to investment in and ownership of intellectual property, leveraging our relationships with industry leaders, and enabling Internet and network-based business solutions. Sun's vision is to ensure that network services are available to anyone, anywhere, anytime, using any device.

About AXS-One

AXS-One (AMEX: AXO) is a leading provider of Records Compliance Management solutions. The AXS-One Compliance Platform enables organizations to implement secure, scalable and enforceable policies that address records management for corporate governance, legal discovery, and industry regulations such as SEC17a-4, NASD 3010, Sarbanes-Oxley, HIPAA, The Patriot Act, and Gramm-Leach Bliley. AXS-One's technology has been critically acclaimed as best of class and delivers digital archiving, business process management, electronic document delivery, and integrated records disposition and discovery for e-mail, instant messaging, images, SAP, and other corporate records.

Get the details.

Get started today with the Sun Compliance and Content Management Solution and find out more about Sun's portfolio of infrastructure solutions at www.sun.com/solutions

Sun Microsystems, Inc. 4150 Network Circle, Santa Clara, CA 95054 USA Phone 1-650-960-1300 or 1-800-555-9SUN Web sun.com



Sun Worldwide Sales Offices: Argentina +5411-4317-5600, Australia +61-2-9844-5000, Austria +43-1-60563-0, Belgium +32-2-704-8000, Brazil +55-11-5187-2100, Canada +905-477-6745, Chile +56-2-3724500, Colombia +571-629-2323, Commonwealth of Independent States +7-502-935-8411, Czech Republic +420-2-3300-9311, Denmark +45-4556-5000, Egypt +202-570-9442, Estonia +372-6-308-900, Finland +358-9-525-561, France +33-1-34-03-00-00, Germany +49-89-46008-0, Greece +30-1-618-8111, Hungary +36-1-489-8900, Iceland +354-563-3010, India-Bangalore +91-80-2298989/2295454; New Delhi +91-11-6106000; Mumbai +91-22-697-8111, Ireland +353-1-8055-666, Israel +972-9-9710500, Italy +39-02-641511, Japan +81-3-5717-5000, Kazakhstan +7-3272-466774, Korea +822-2193-5114, Latvia +371-750-3700, Lithuania +370-729-8468, Luxembourg +352-49-11-33-1, Malaysia +603-21161888, Mexico +52-5-258-6100, The Netherlands +00-31-33-45-15-000, New Zealand-Auckland +64-9-976-6800; Wellington +64-4-462-0780, Norway +47-23-36-96-00, People's Republic of China-Beijing +86-10-6803-5588; Chengdu +86-28-619-9333, Guangzhou +86-20-8755-5900; Shanghai +86-21-6466-1228; Hong Kong +852-2202-6688, Poland +48-22-8747800, Portugal +351-21-4134000, Russia +7-502-935-8411, Saudi Arabia +9661-273-4567, Singapore +65-6438-1888, Slovak Republic +421-2-4342-94-85, South Africa +27-11-256-6300, Spain +34-91-767-6000, Sweden +46-8-631-10-00, Switzerland-German 41-1-908-90-00; French 41-22-999-0444, Taiwan +886-2-8732-9933, Thailand +662-344-6888, Turkey +90-212-335-22-00, United Arab Emirates +9714-3366333, United Kingdom +44-1-276-20444, United States +1-800-555-9SUN or +1-650-960-1300, Venezuela +58-2-905-3800, or online at sun.com/store

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