# **ZLTECH**

# Top 5 US Bank

Leading bank achieves comprehensive information governance, compliance, and eDiscovery for a mixed email environment on a massive scale with ZL UA

## Background

The customer is a diversified financial services company that provides a broad range of retail banking and brokerage, asset and wealth management, and corporate and investment banking products and services. As one of the top banks in the US, the customer has retail and commercial banking operations in 39 states as well as nationwide retail brokerage, mortgage and automotive lending services. Additionally, the customer has over 40 global offices in 35 countries, serving clients from a variety of corporate and institutional sectors, while facing numerous regional and international regulations.

## The Challenge

The bank had a massive volume and variety of unstructured data that needed to be managed for legal and regulatory compliance requirements. Not only did the solution require scalability to handle at least 10 million email messages per day and offer a repository for a total of 10+ billion documents, but it also needed to offer the speed and granularity of search that would allow for proactive eDiscovery. With a mixed email platform environment, massive volume of data, and strict regulations to meet, it was unreasonable to pursue a system that could not seamlessly handle multiple related functions. Data "silos," which offer limited scalability and impede information access via file segregation and proliferation, were not an option.

## Business Needs

Requirements were shaped heavily by increasing regulatory pressure, as well as by sheer scale of data and need for efficiency. Several key priorities included:

- **Support** for 165,000 mailboxes, using both Exchange and Lotus Notes

- **Compliance** tools for SEC 17a-4, NASD3010/3110, FINRA, SOX, and others

- **Retention** and document lifecycle management capabilities

- **Rapid Search** across all unstructured data in the enterprise

- **eDiscovery** tools including ECA, case management, and custodian preservation

- **Scalable** archive with GRID architecture

- **Improved storage** and increased email server performance

- **Migration** support for hundreds of TBs of data from an existing legacy archive

## CUSTOMER PROFILE

**⊞ INDUSTRY**
Banking and Financial Services

**👥 SIZE**
270,000+ Employees
70 Million Customers
35+ Countries

**◉ HEADQUARTERS**
San Francisco, California

**✉ EMAIL ENVIRONMENT**
165,000+ end-user mailboxes; Mixed Microsoft Exchange and IBM Lotus Notes environment

**☰ BUSINESS REQUIREMENTS**
FRCP, FINRA, SEC 17a-4, SOX, NASD 3010/3110, eDiscovery

## SOLUTION SUMMARY

**SOLUTIONS**
ZL UA
ZL Compliance Manager
ZL Discovery Manager
ZL Storage Optimization

**DATA TYPES**
Microsoft Exchange
Lotus Notes and Domino
Instant Messaging
Bloomberg Messaging
Blackberry, and more

## A Unified Solution

It was clear that the customer required a solution that could handle a vast volume of data as well as an equally vast variety of file types and management functions.

With these issues of complexity and scale in mind, the possibility of pursuing separate ad hoc solutions for individual problems was not an option, as it would only add complexity to an already complex data environment. What was needed was a powerful, centralized platform that could archive and manage all unstructured information together and allow for responsive enterprise-wide searches. ZL UA was chosen as the only solution to meet the combined requirements of scalability, flexibility, and functionality.

For the customer's unique data environment, ZL UA stood head and shoulders above the rest with several key abilities that set it apart.

### Differentiators:

### MS Exchange and Lotus Notes Support

Few archives can offer support for mixed email environments. ZL UA was the only system that could handle both Exchange and Lotus Notes for all related functions without putting separate email data into different archives.

> *ZL UA was the only solution that could meet combined requirements of scale, flexibility, and functionality.*

### GRID-Based Scalability

ZL's GRID architecture provided the parallel processing power and high-availability that was needed for enterprise volumes of data, with ample room for growth.

### Rapid Global Search

Data is useless if it can't be found. ZL utilizes full-text indexing and centralizes all unstructured data, enabling enterprise-wide queries in seconds. Sophisticated options, such as content and proximity search, ensure documents can be found no matter where they reside.

### Unified eDiscovery

Enterprise search, case management, and custodian preservation allow for handling of major eDiscovery functions seamlessly from a single portal while coordinating with existing retention policies. Advanced review and analytics options enable end-to-end control of data.

### Migration Support for Legacy Data

The customer had a massive amount of existing data to migrate from legacy systems. ZL's assistance and timely transfer of nearly a petabyte of old data to ZL UA while maintaining a working data-capture and management environment was a key consideration.

## Results

After an exhaustive on-site evaluation of the leading unstructured data solutions, ZL UA was selected as the only platform that could be leveraged as a comprehensive information governance system rather than just a simple archive. Besides allowing the customer to proactively maintain SEC and FINRA compliance, ZL UA improved server performance, minimized TCO, and maximized data control for corporation-wide knowledge management. With a proven elastic architecture, ZL UA was able to sustainably meet the demands of a 10+ billion document repository that would continue to grow by the millions each day.

Today, the customer enjoys a competitive advantage and unparalleled defensibility with unified control of unstructured data that is centralized, coordinated, and extraordinarily fast. Rather than simply enacting policies that meet regulatory expectations, the leading bank can proactively monitor and manage data, locating relevant information in any corner of the enterprise at the click of a button.
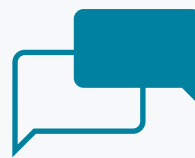
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### KEY BENEFITS

- 100% capture and audit trail for all unstructured data
- Automated supervision for easy regulatory audits
- Complete code control for optimal security and support
- Powerful search engine allowing enterprise-wide queries in seconds

### YEARLY STATISTICS

**1+** billion
Email messages archived

**90+** million
Instant messages archived

**200+** million
Bloomberg chat messages archived

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