

Case Overview

- **Industry** Finance
- **Customer** Gladstone Capital
- **Number of Email Boxes** 100+
- **Business Need** Compliance
- **Solution** Enterprise Email Archive™ for Exchange

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Case Resolution

Background

Gladstone Capital is a publicly-traded specialty finance company based in a suburb of Washington, D.C., that invests in debt securities in small and medium sized companies. Gladstone Capital is managed by Gladstone Management.

Customer Challenge

Gladstone Capital is traded on the Nasdaq, which requires the company to comply with regulations set forth by the United States Securities and Exchange Commission (SEC), which governs organizations traded on the stock market. These regulations include Sarbanes-Oxley and SEC 17a(3,4) and mandate retention of electronic records, including email and other electronic data, for no less than five years in an accessible yet secure location.

“MessageSolution definitely stands out.”

Special Requirements

Gladstone Capital’s Exchange server was in a hosted environment; many archiving vendors could not accommodate Gladstone’s environment due to connectivity problems. “I spent three months working with two other vendors, but they couldn’t connect to our hosted Exchange provider without installing software on the Exchange server,” the Gladstone Capital’s IT consultant said.

The MessageSolution Enterprise Email Archive™ Solution

Gladstone Capital selected Enterprise Email Archive for Exchange to meet their compliance requirements in their hosted Exchange environment. “In our environment MessageSolution was the simplest package to comply with Sarbanes-Oxley and other SEC regulations, yet they offered the most competitive pricing,” said Gladstone Capitals’ IT consultant. “MessageSolution also provided the quickest way to get up and running.”

MessageSolution, Inc., provides innovative solutions that enable organizations in all industries to meet their compliance, electronic discovery, storage management and disaster recovery requirements. MessageSolution’s email and file archiving software solutions are uniquely comprehensive, price-competitive, and flexible. For more information, visit www.messagesolution.com or contact a sales representative at sales@messagesolution.com.

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The MessageSolution Resolution

First, MessageSolution's technical team worked with Gladstone Capital to offload existing historical emails and attachments to the archive. "The deployment process for MessageSolution's email archiving system was quick and smooth, and the support was excellent," Gladstone Capital's IT consultant said.

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Real-Time Archiving

MessageSolution helped Gladstone Capital become fully compliant with all SEC regulations by providing the company with automated retention policy application, ensuring that all relevant emails are retained for the proper time period. After historical archiving was complete, Gladstone Capital was free to enable real-time, or journal, archiving, which captures and archives all candidate emails and attachments as they pass through the Exchange server's journal box. This eliminated the possibility of user's accidentally deleting emails before they could be archived for compliance.

Security

MessageSolution also secured Gladstone's emails from internal threats with policy-based access controls, password protection, and encryption in the archive's back-end. Gladstone Capital's hosted environment was not problematic as Enterprise Email Archive's Express Edition does not require installing anything on the Exchange server, nor does the archive require third party databases or software. "Besides the solid software MessageSolution provided us, saving thousands of dollars for my client, the option of not purchasing third party commercial software or databases was not offered by other vendors."

Access

Gladstone Capital's final obstacle was access to records. Access controls based on Gladstone Capital's preferred policies allowed certain users to search, view and restore emails and attachments in the archive. The search interface was simple but comprehensive, allowing search via full text key word or phrase, metadata, fuzzy search and proximity search, returning results in less than a second.

"MessageSolution's email archiving system has been running nicely ever since the installation," said Gladstone Capital's IT consultant. "MessageSolution definitely stands out."

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