

Social Media Compliance Solutions

SEAMLESS CLOUD-BASED ARCHIVING
FOR LINKEDIN, TWITTER & FACEBOOK



Global Relay enables your firm to leverage social media as a business development tool

Social media services like LinkedIn, Twitter, and Facebook have become indispensable for marketing, networking and more. Global Relay gives your firm the tools it needs to easily leverage social media while remaining in control of your business, respecting employees' personal privacy rights, and helping you stay in compliance with the regulations of FINRA®, the SEC, IIROC, and more.

Like other forms of electronic communication, social media is subject to regulatory requirements and fits into the framework of existing SEC and FINRA Rules. For example, FINRA Notice 10-06 and 11-39 advise that firms must ensure they have an archive in place to retain all records of social networking communications as per SEC Rules 17a-3, 17a-4 and FINRA Rule 4511 — much the same as with business email and instant messaging.

Global Relay Social Media Archiving Technology: Why it's different

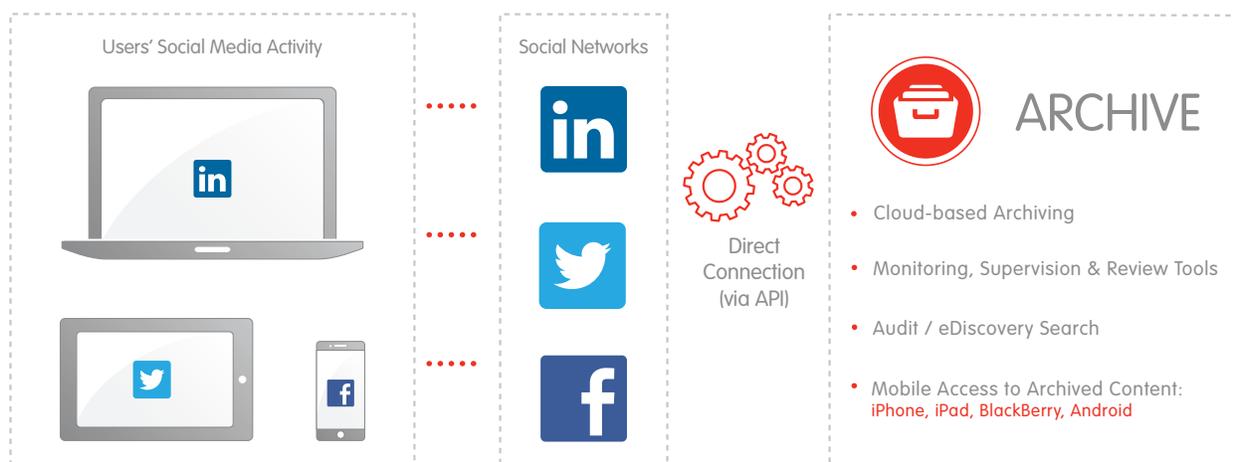
Seamless, automatic archiving with straightforward setup.

Getting started is easy — Global Relay Archive automatically sends an email to each employee, requesting that they opt-in for the service by clicking a single link. Users' privacy is maintained — in accordance with privacy laws, neither your firm nor Global Relay retains social media user names or passwords. Best of all, archiving with Global Relay does not change the social media experience for users.

We capture social media at its source for a more compliant, more complete archive.

Global Relay Archive connects directly to LinkedIn, Twitter, and Facebook to ensure complete, timely and accurate capture of your firm's social media activity. This takes place automatically, regardless of employees' location or device. The Global Relay approach avoids a critical compliance gap that can occur when social media archiving solutions (such as middleware) work only when users access LinkedIn, Twitter or Facebook from behind a proxy server on company premises.

A Direct Connection: Archiving Anywhere, Anytime



Global Relay: Superior Social Media Archiving

Global Relay Archive for Social Media is the clear choice for financial firms and excels at each of the four key social media activity requirements:

1. Archiving

Secure and compliant, capture of your firm's social media activity

- **Anywhere, any device** – Data capture takes place regardless of users' device, location or network — including smartphones and home computers.
- **Transparent** – Users' experience on social media sites is unaffected by the archiving process, which runs automatically in the background.

2. Supervision

Compliance review and monitoring of social media

- **Rich display** – When viewing social media communications inside Global Relay Archive, they appear in their original format – preserving all photos, formatting and links (as opposed to plain text without context).
- **Redline view** – Compliance Officers love this: when changes are made to a social media page, Global Relay Archive shows a unique "redline" view that pinpoints exactly what text was altered, added or removed on social media pages (as opposed to static screenshots without tracked changes).
- **Compliance tools** – As with email and all other message types, compliance officers and managers reviewing social media with Global Relay Archive have access to the most sophisticated array of built-in supervision & monitoring tools, including customizable keyword flagging and exclusions, legal holds, random message sampling, and much more. Read more at globalrelay.com/services/archive.

Viewing Social Media Within Global Relay Archive

The screenshot displays an email notification for a LinkedIn profile update. The email header includes the subject, sender, date, and recipient. The main content shows a profile update for Thomas Stockdale, with redline markings: pink highlights indicate text that has been removed, and yellow highlights indicate text that has been added. The update text reads: "Here at Wavelength Securities, we need to bolster our research division. If you know qualified people, send them my way." Below the update is a summary of the user's profile, including current and past roles, education, and experience.

Subject: LinkedIn: Profile Update: Thomas Stockdale <tstockdale@wavelengthsec.com>: 2012-01-11 12:59:58 PM (EST)
From: "Thomas Stockdale (JIQRv-ns88)" <tstockdale@wavelengthsec.com>
Date: 8 months ago Wed, 11 Jan 2012 12:59:58 -0500
To: "Thomas Stockdale (JIQRv-ns88)" <tstockdale@wavelengthsec.com>

Thomas Stockdale
COO, Managing Director at WaveLength Securities, LLC
COO, Managing Director, Head of Global Relations at WaveLength Securities, LLC
Greater Chicago Area | Banking

Thomas Stockdale Here at Wavelength Securities, we need to bolster our research division. If you know qualified people, send them my way.
Jan 5, 2012 4:17:42 PM EST

Current	COO, Managing Director, Head of Global Relations at WaveLength Securities
Past	Managing Director at Farrington Investments, Inc.
Education	The University of Chicago - Booth School of Business
Recommendations	0 people have recommended Thomas
Connections	3 Connections
Websites	Company Website
Public Profile	http://www.linkedin.com/pub/thomas-stockdale/44/924/7a

Summary
Accomplished global executive with extensive experience in strategy and business analysis, business process re-design, and risk management. Results-driven manager with proven ability to collaborate, influence and drive change across global organizations.

Experience
COO, Managing Director, Head of Global Relations
WaveLength Securities, LLC
Banking Industry
January 2010 – Present (2 years 1 month)

Global Relay Archive

Provides a rich display of archived social media activity, showing each user action in context. A "redline" view shows exactly which information has been added or deleted. Here, Global Relay Archive has captured a user's update to his LinkedIn profile. Pink highlighting indicates removed text; yellow indicates added information.

3. Search

Find any archived social media communication quickly & easily, anytime and anywhere:

- **Mobile** – In a taxi, at an airport, or on a public computer? Easily retrieve any archived social media communication – on iPhone, iPad, BlackBerry, Android devices, Microsoft Outlook or web browser.
- **Fast & convenient** – No matter how complex your search criteria, finding any message takes just seconds. For example, finding an old tweet using Global Relay Search takes far less time than scrolling through hundreds of tweets at Twitter.com.
- **Unified** – Remember a conversation, but can't recall whether it was on LinkedIn, Yahoo! Messenger, Bloomberg or email? Global Relay gives you one-step searching across any/all message types, including social media.



4. Reporting

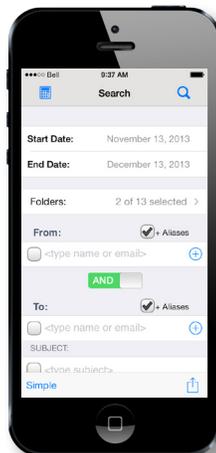
Compliance officers, managers and HR gain powerful visibility into social media activity happening across the firm.

- **Insight** – Global Relay reporting tools give Compliance Officers, HR and managers a detailed picture of social media activity.
- **Versatility** – Reports are highly configurable and can be scheduled or produced on demand. Include social media activity in your firm's overall messaging reports, or generate specific reports for any of LinkedIn, Twitter or Facebook.

Global Relay Search for BlackBerry, iPhone and Android



BlackBerry



iPhone



Android



Social Media Marketing, Management & Compliance

Powered By Hootsuite



Looking for a way to bring content management and market tools to your firm's social media activities?

Global Relay has partnered with HootSuite, the industry-leading social media dashboard, to offer customers a compliant way to manage all their social media properties in one place.

This partnership provides a full suite of features & tools, including:

- **Pre-review:** Have a firm principal review outbound social media communications before they are published
- **Team collaboration:** Customize your firm's social media workflow
- **Analytics:** Track social media mentions & traffic
- **Monitoring:** Find out what your customers are saying about your firm & industry
- **Sales:** Communicate about your firm's products & services

Compliance on Mobile Devices

In accordance with FINRA Notice 11-39, Global Relay captures social media content generated on mobile devices. Global Relay Archive is seamless: once archiving is set up for a user, compliant archiving takes place regardless of device, location or network.

Additionally, Global Relay Search for iPhone, iPad, BlackBerry and Android devices lets users search for any type of archived message — including social media.

External Delivery of Social Media Messages

For customers with in-house archiving systems, Global Relay Archive can be configured to provide a secure data feed of social media messaging.

About Global Relay

Global Relay is the leading provider of cloud-based electronic message archiving, supervision, and eDiscovery solutions for the global financial sector and other highly regulated industries. Global Relay delivers services to 20,000 customers in 90 countries, including 22 of the top 25 banks. Global Relay Archive supports, email, IM, Bloomberg, Thomson Reuters, social media, mobile messaging, and more - with mobile, Outlook and web access.

For more information about Global Relay Social Media Compliance Solutions and how Global Relay can provide your firm with secure, cloud-based archiving solutions to meet compliance regulations:

- visit globalrelay.com
- call 1.866.484.6630
- email info@globalrelay.net

Through its compliance resource provider program, FINRA seeks to assist firms' compliance efforts by finding, reviewing and making third-party tools and services available at discounted prices or with additional features. These tools and services are provided as a convenience to firms, and firms should undertake their own assessments to determine whether they meet their technology and security requirements. FINRA does not endorse these products and firms are not obligated to use them. Their use does not ensure compliance with FINRA rules or other regulations or laws.

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