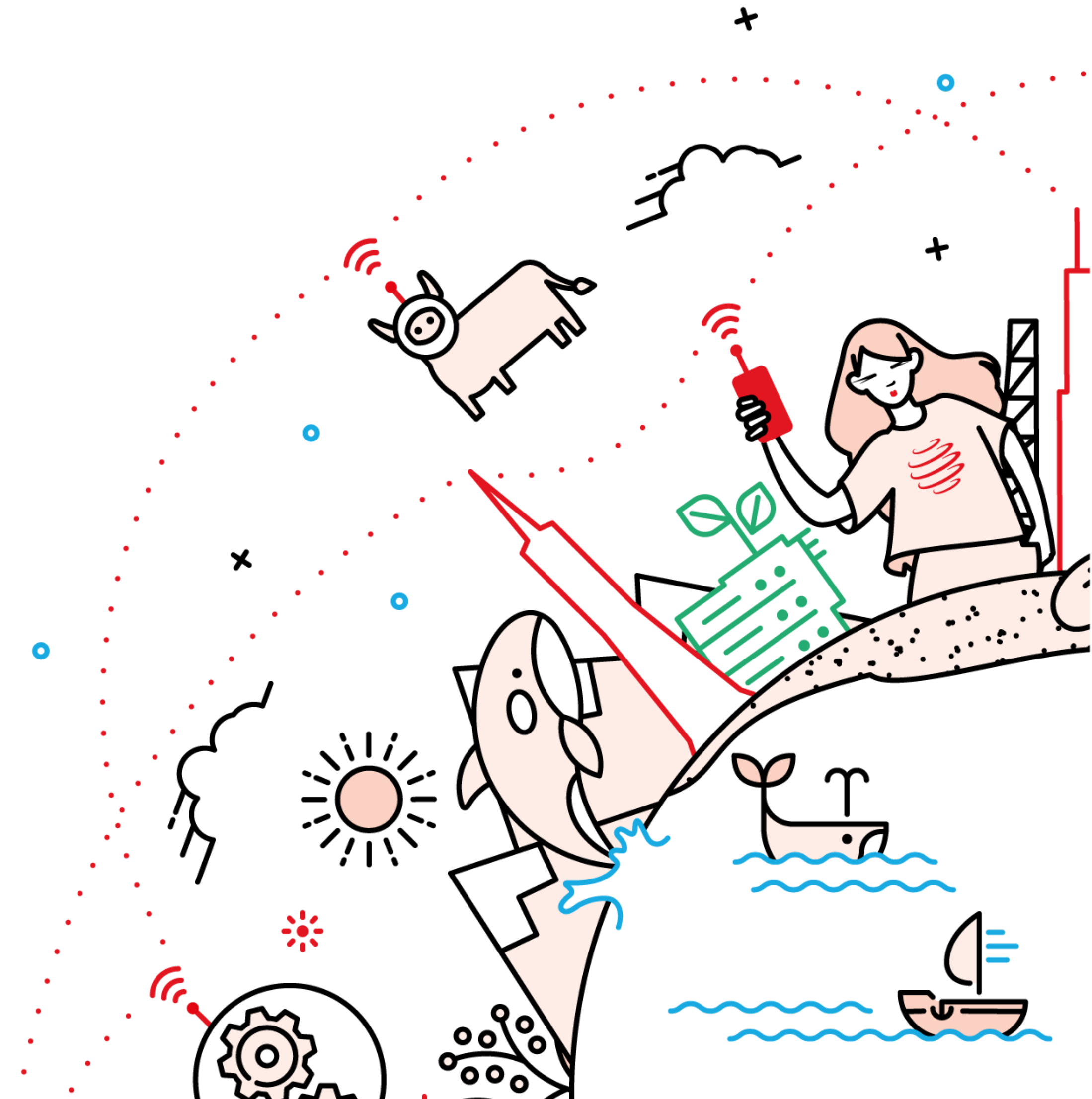


How WhatsApp, TikTok or a Reddit Thread Could Sink a Business

ISACA San Diego
January 20, 2022





Presenters



Bo Nelson
Technical Account Manager
Global Relay



Donald McElligott
VP, Compliance Supervision
Global Relay



Introduction to Global Relay



We are **Global Relay.**
We help your business **Connect data,**
****Collaborate** effectively, and **Discover** insight**
with **AI-enabled solutions.**



About Global Relay

Privately owned and operated
with global presence



Private secure cloud:

Over 20 years of delivering Software-as-a-Service in our own mirrored data centers



Serving highly regulated industries:

financial firms, banks, public companies, insurance, government, healthcare, energy



Beyond compliance and archiving: information governance platform with integrated collaboration and analytics tools to make the most of your organization's data



Trust



20,000+
customers



90+
countries

22 of the top 25
global banks

+70% FINRA
broker-dealers

+70% SEC
hedge funds

Trust Global Relay With Their Critical Data

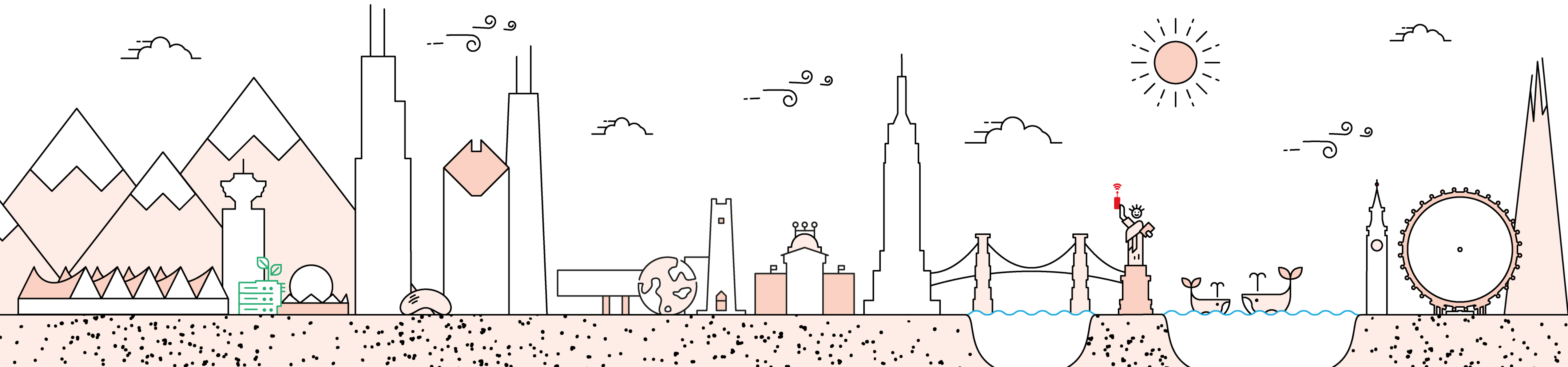
Vancouver

Chicago

Raleigh

New York

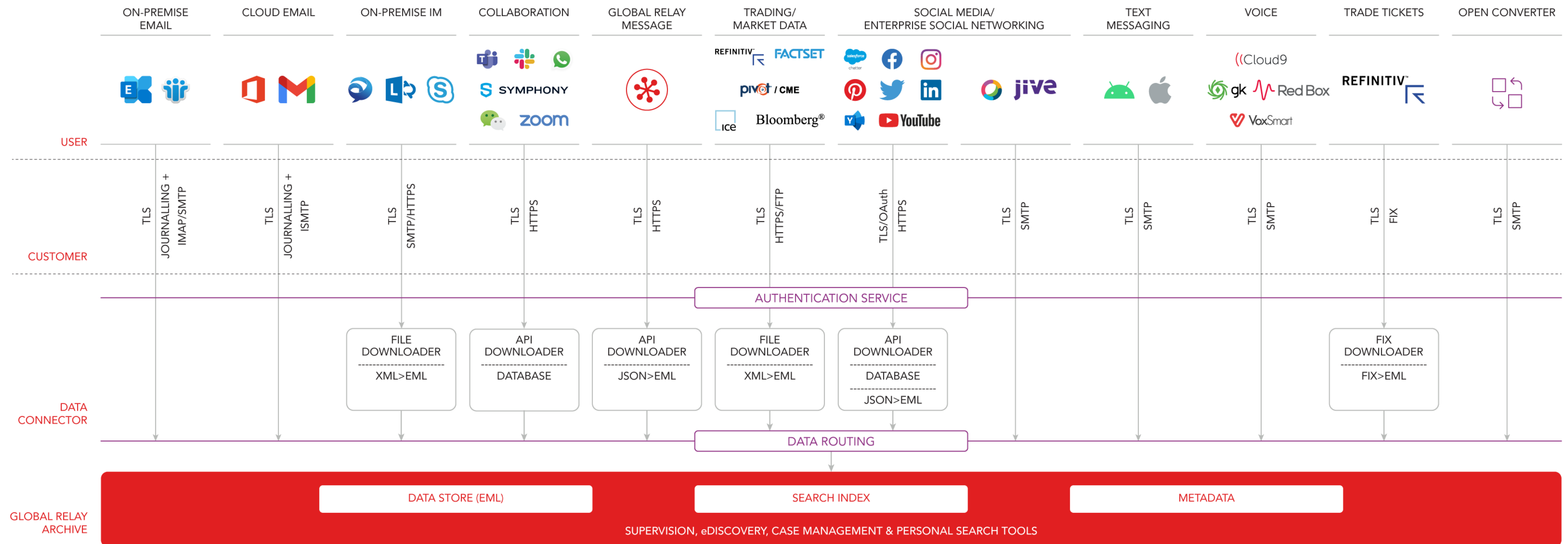
London





Global Relay Archive

Preserve content and context for all data types





Data Lifecycle Integrity

Attest to the quality, accuracy and completeness of your data

Acquire Source Data

from client or 3rd party via SMTP, XML or API

Convert Source Data

from XML log file or API into RFC 822 EML format preserving metadata essential to supervision and review

Route Data

and deliver to one or more archives, external locations, and/or WORM

Store Data

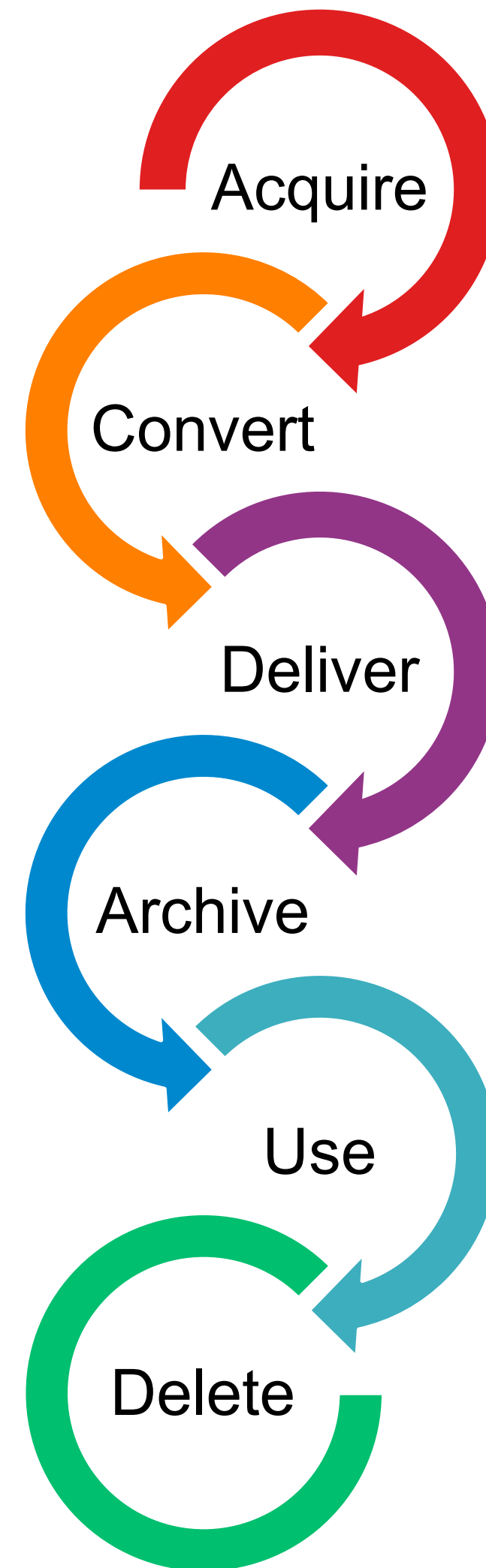
securely in one or more Archive 10 data stores where it can be leveraged for multiple functions

Use Data

leveraging integrated features and capabilities

Delete Data

once it has expired by following a formal review and approval process



DKIM: Verifies messages are not tampered with in transit

Receipt Reconciliation: Validate every message sent has been received

Manifest files and ACK: Validate all source log files are downloaded and converted

SHA-256: Applied to each message upon acquisition to support Constant Integrity Check

Delivery Reconciliation: Confirms the delivery of every message to one or more archives (and/or external systems or WORM)

Constant Integrity Check: Continuously validates that all messages are available (no data loss) and viable (no corruption) over their lifetime

Data Audit Logs: Records every user action taken against every message over its lifetime in the archive

Delete Reconciliation: Confirms the successful deletion of each message to one or more archives and external delivery



Gold Copy Data

It's about quality, accuracy and completeness

Enterprise Integration:

Directory integration to securely manage Users, Groups & Roles

Data Acquisition:

Journaling & processing Email, Message, Social, Voice & Tickets

Segregation:

Physically segregate data by Entity, Country, etc.

Classification:

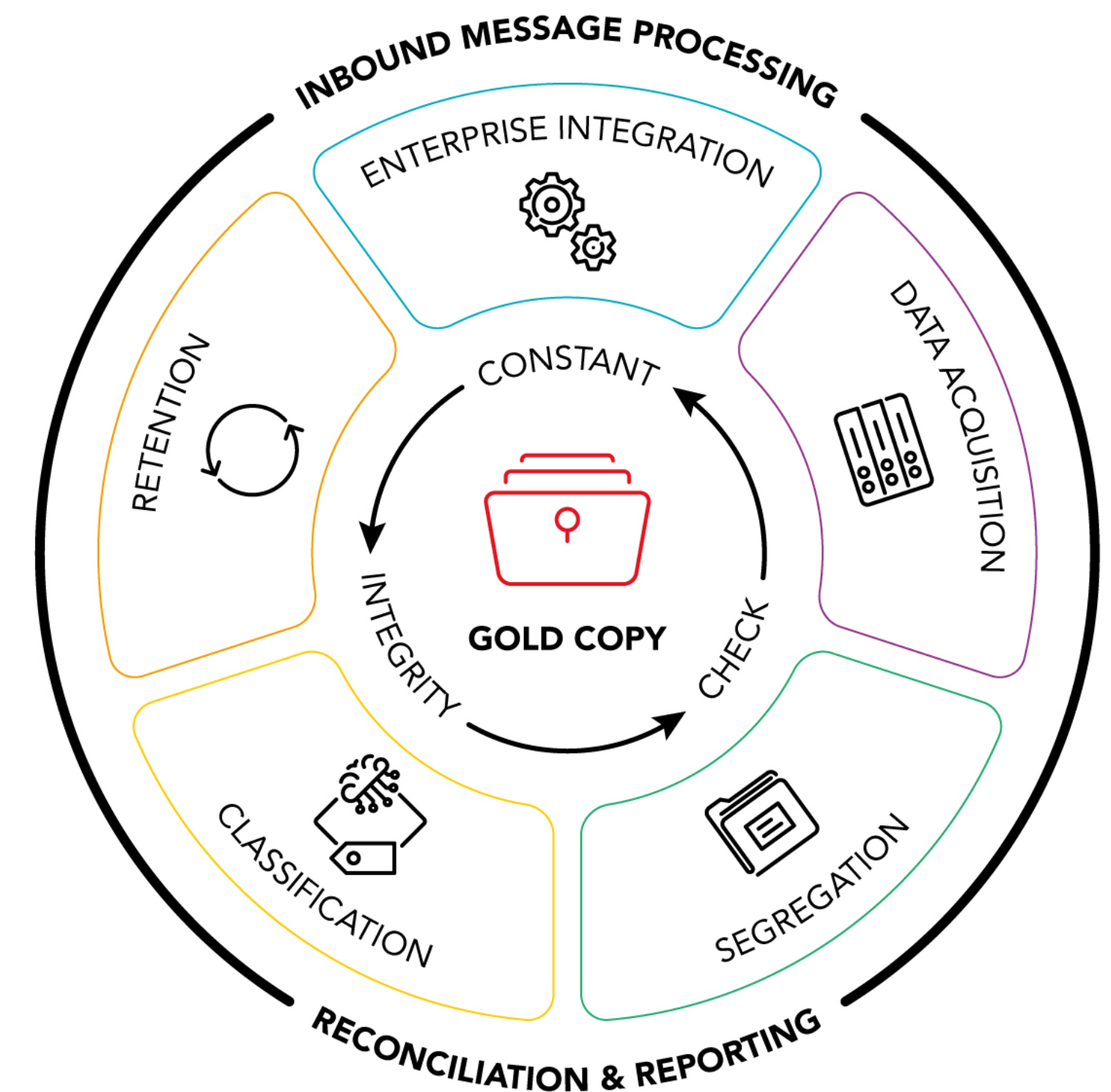
Auto Tag data AI Data models and participant identity

Retention:

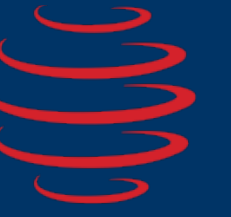
Disposition of data based on multiple retention terms; and on demand deletion to meet GDPR Rules.

Constant Integrity Check:

Continuously validates that all messages are available (no data loss) and viable (no corruption) over their lifetime



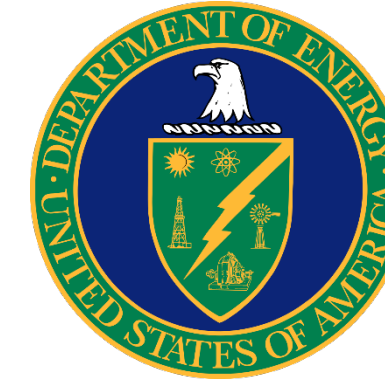
Value, Risk Mitigation & Cost Reduction are achieved through leveraging a single archive with a single index, deployed on the desktop of every employee in every role.



Regulatory & Legal Pains

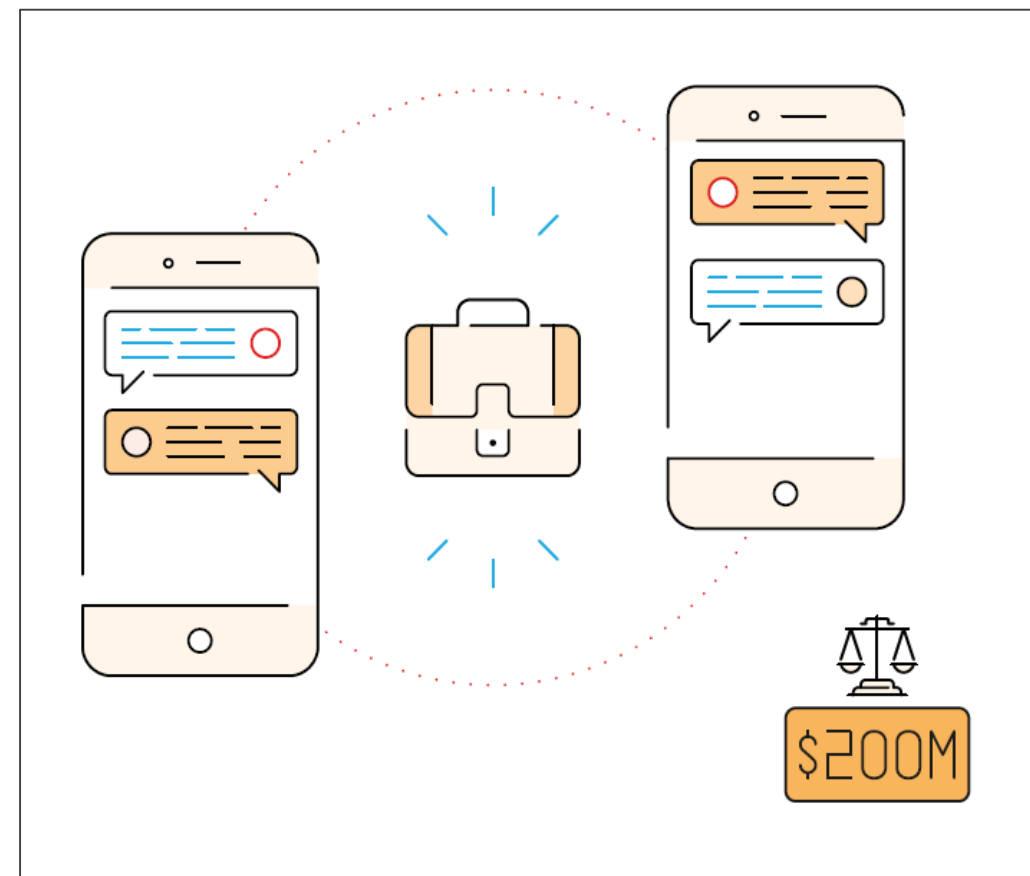


Governing Bodies



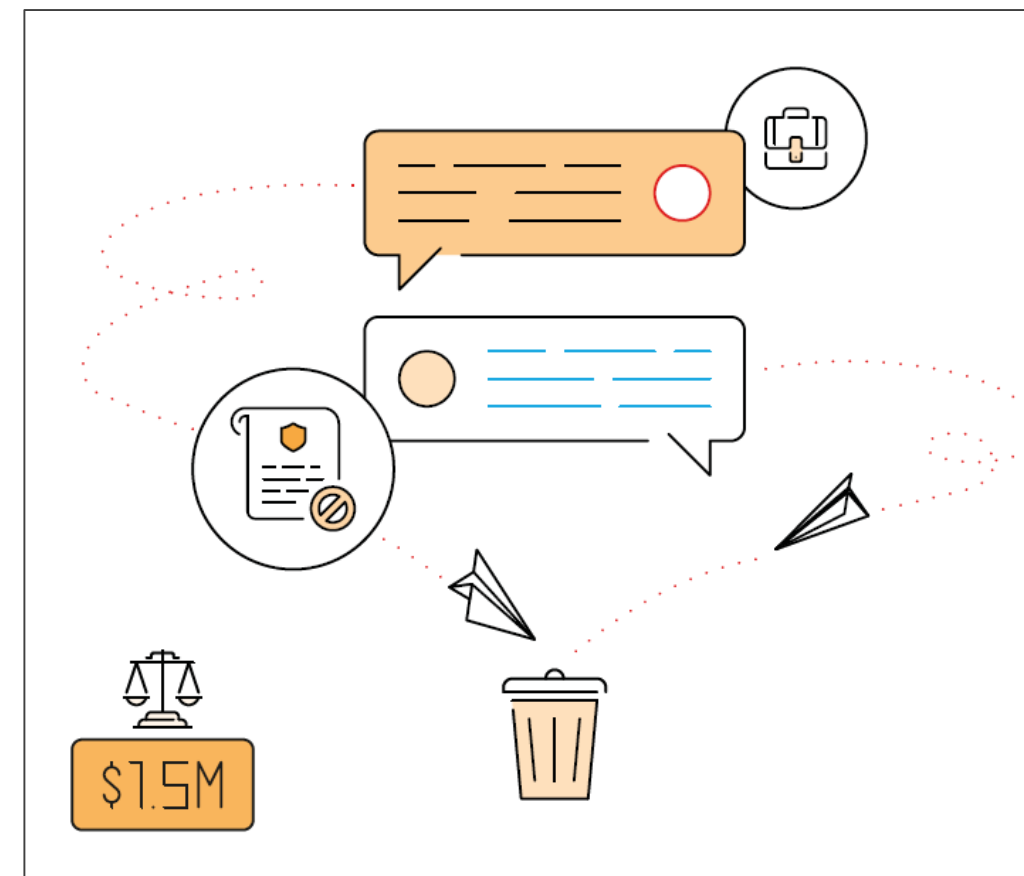


Fines & Risks



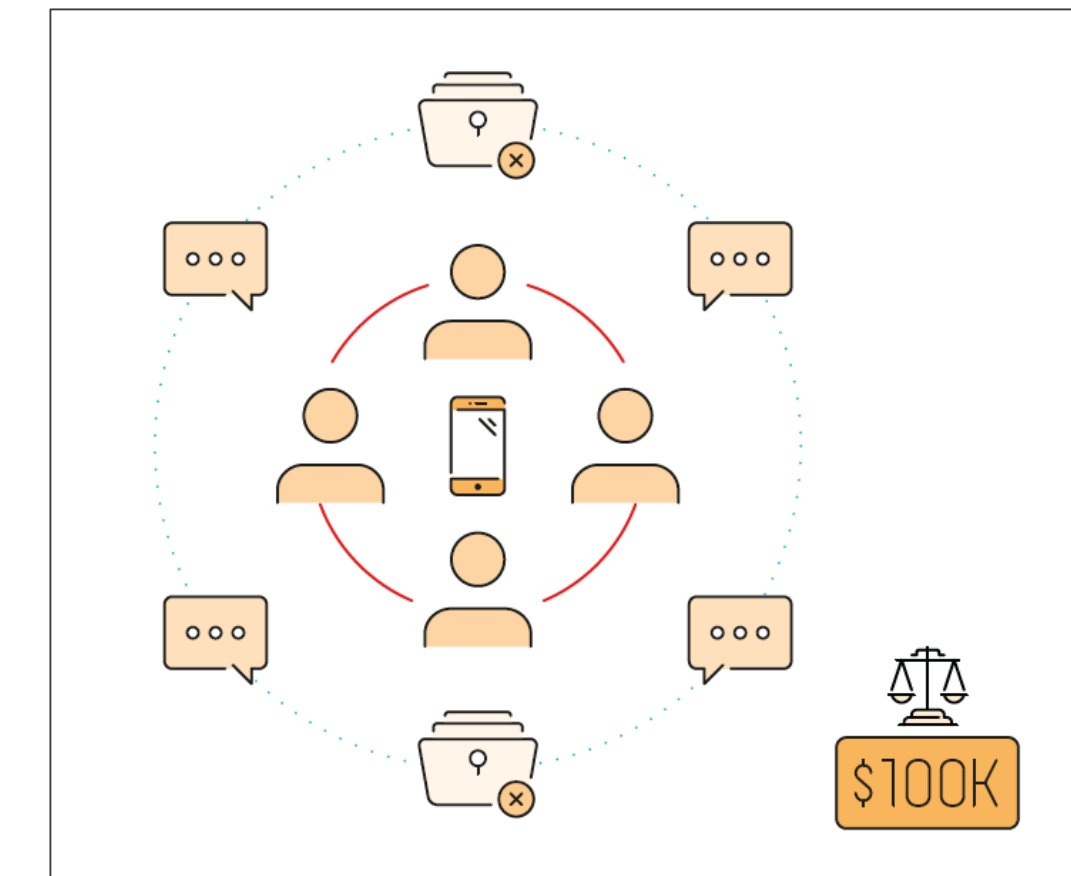
2021 - SEC & CFTC
\$200 Million

Global bank employees used their personal devices to send texts and WhatsApp messages on business related matters.



2021 - FINRA
\$1.5 Million

Global banking and investment firm failed to implement an adequate supervisory system, and neglected to capture text messages between employees and customers.



2020 - SEC
\$100,000

California broker-dealer fined and censured for failing to capture text messages. First-ever fine issued exclusively for non-compliant texting by the SEC.



Regulatory & Legal Pains

Fines & Risks

FINRA Reviews Rules Around Social Media Influencers and Customer Acquisition – We Can't Say They Didn't Warn Us

by [Harriet Christie](#) — January 5, 2022

Fraud Whistleblowers Say Gilead Concealed Its Own Lost Texts

BY DANIEL SEIDEN

May 27, 2021, 9:03 AM

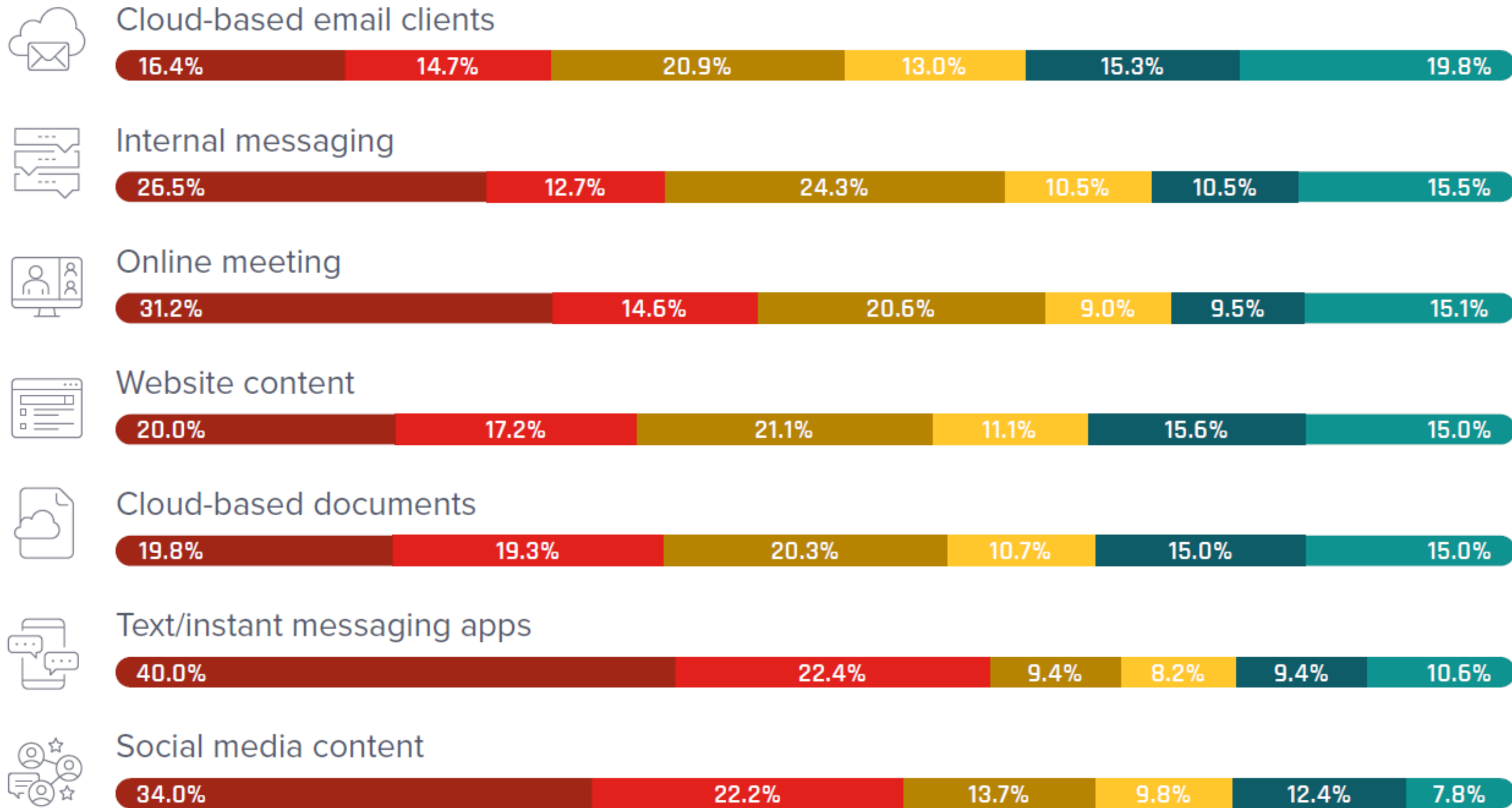
Court Sanctions Defendants for Using Signal to Thwart FTC Investigation

Federal Trade Commission v. Noland spotlights the perils of using ephemeral messaging once litigation...

September 16, 2021 at 07:00 AM



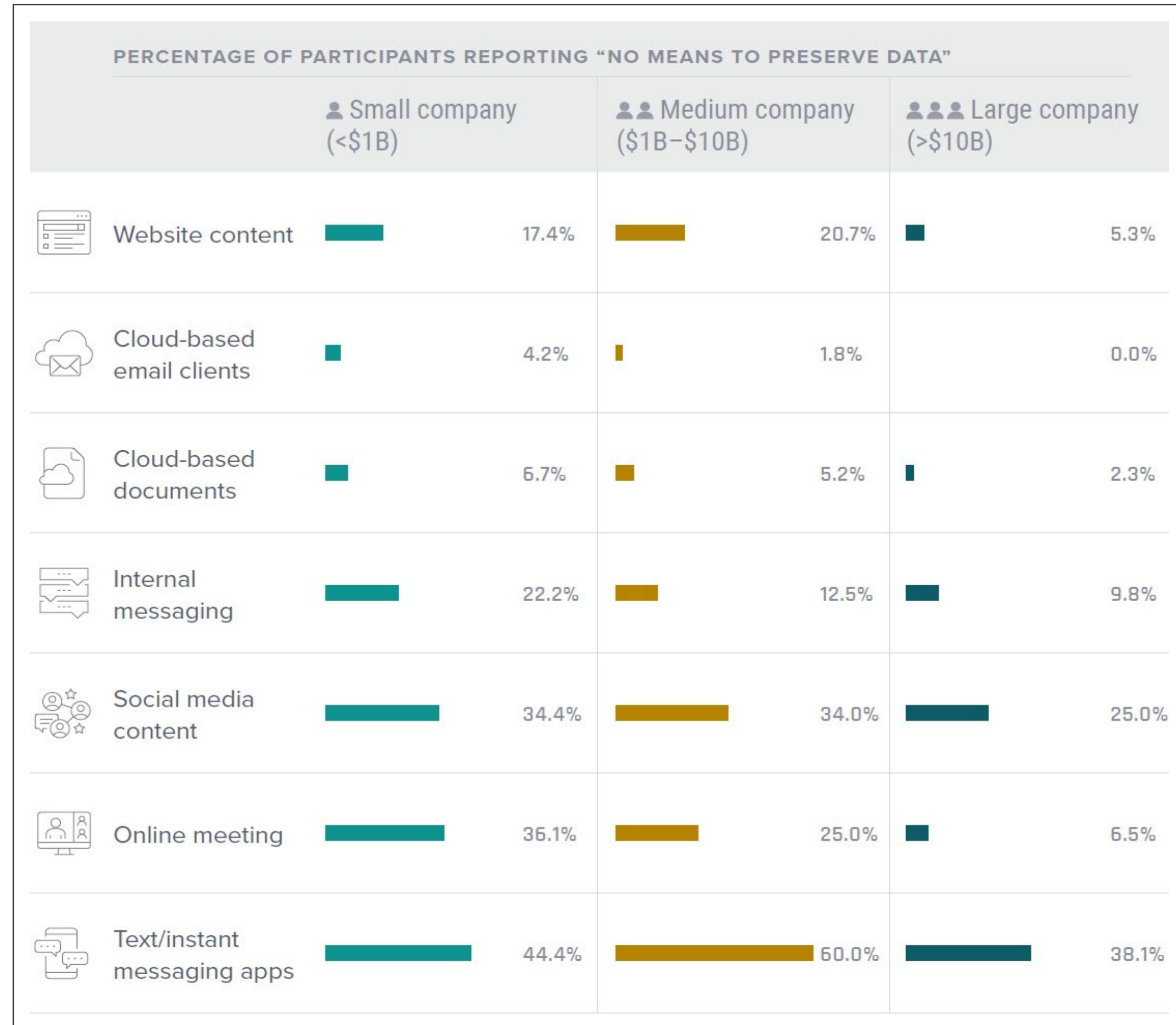
How mature are your organization's information governance and retention strategies by the following data sources?



- A** Enterprise content management is decentralized in business units across the company with no clear retention strategies in place
- B** Content management is decentralized in business units across the company, but with clear retention strategies in place
- C** Centralized information governance with policies and procedures drafted
- D** Undertaking automation and systematization of retention processes
- E** Enterprise-wide retention strategy documented, published and communicated
- F** Tools deployed to facilitate automated data retention



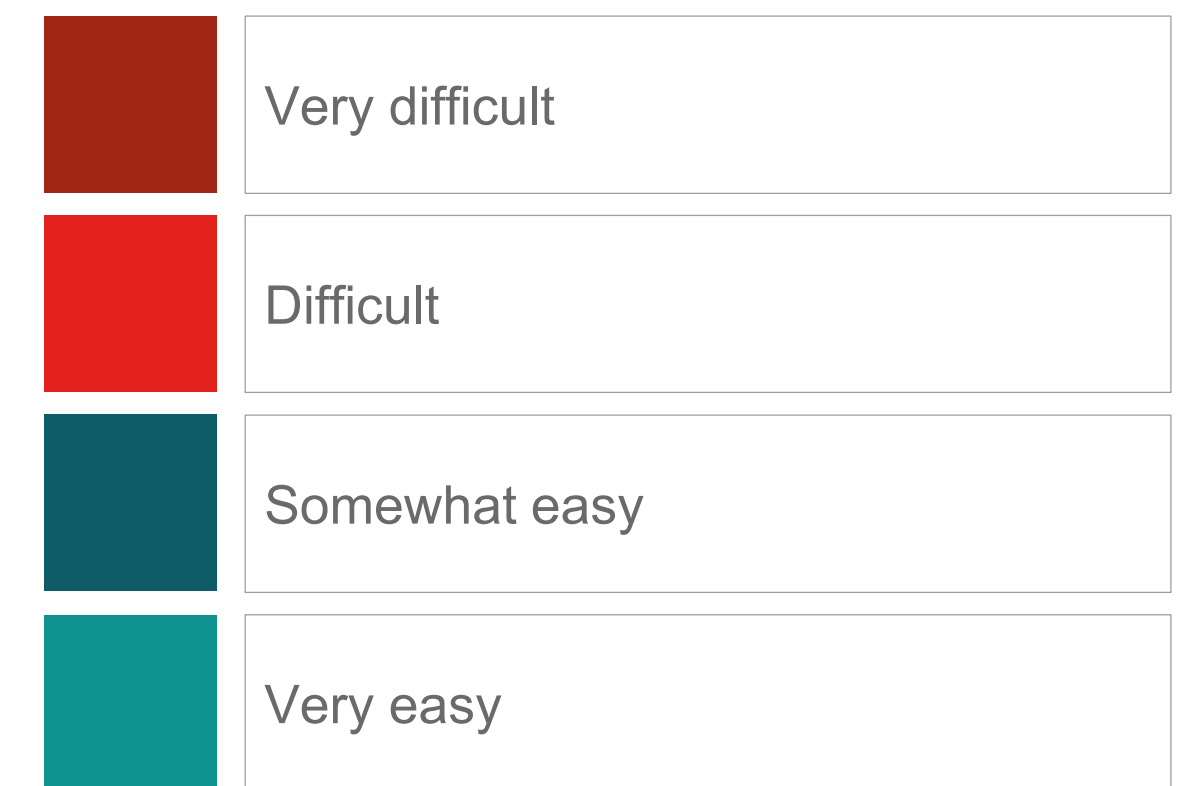
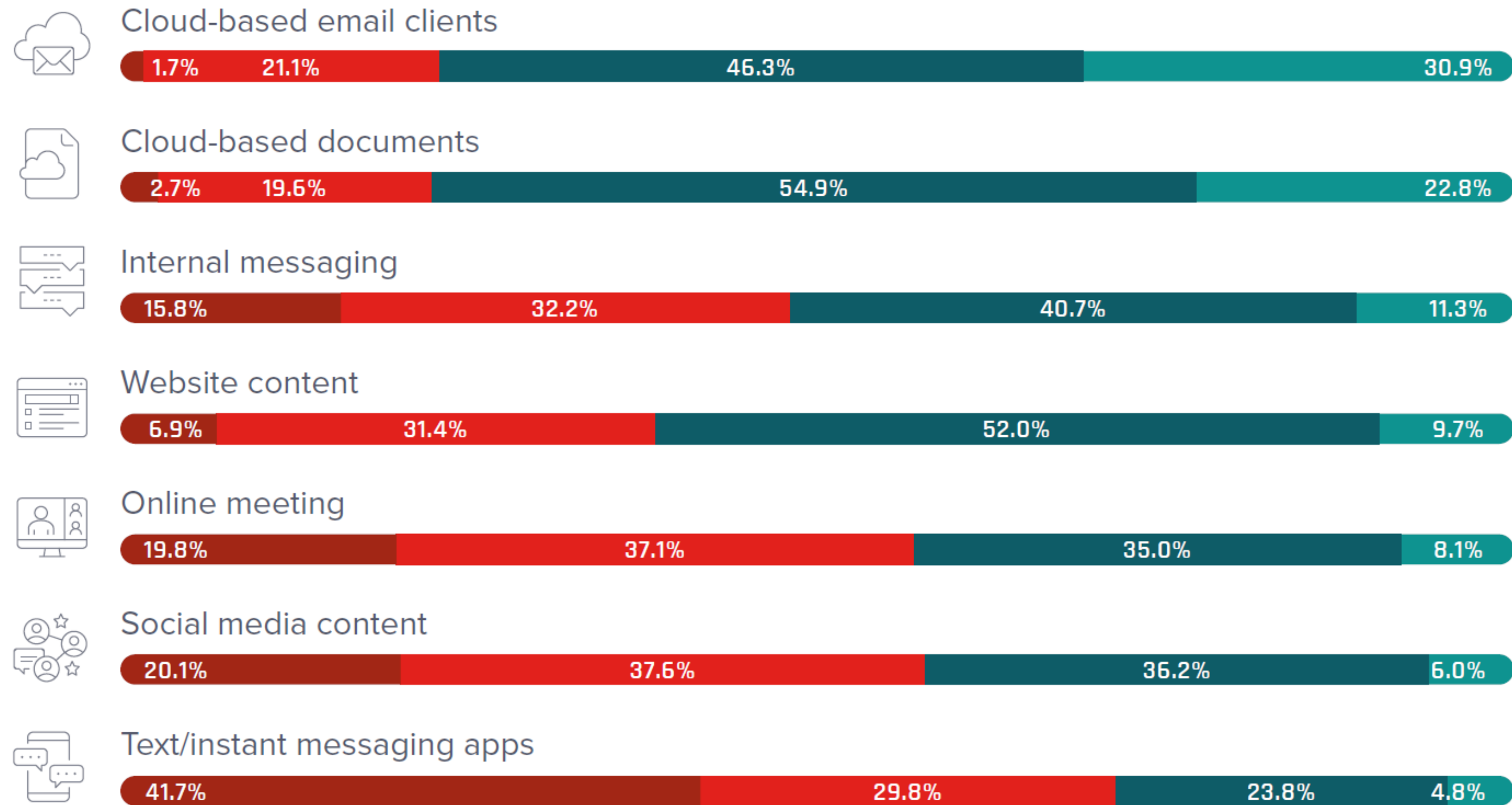
“No Means to Preserve...” by Company Size



Source: *Collecting Online Data for eDiscovery & Litigation Readiness Report 2021*
 Association of Corporate Counsel and Pagefreezer
<https://www.acc.com/collecting-online-data-ediscovery-litigation-readiness-report>

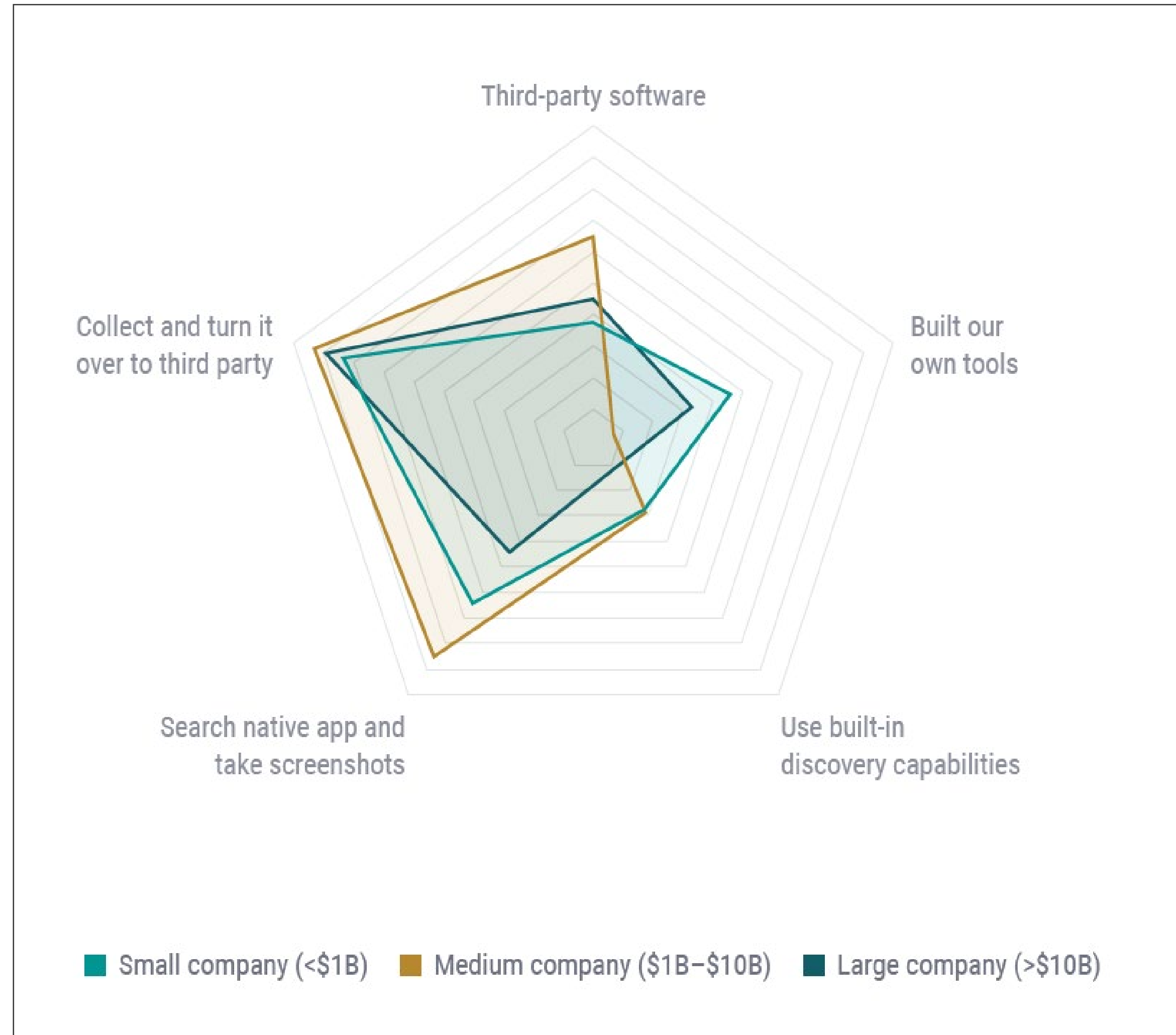


How easy is it to respond to a request for production of records for each data source?

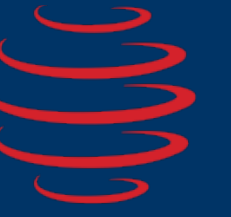




Record Production Tools: Text / Instant Messaging Apps



Source: *Collecting Online Data for eDiscovery & Litigation Readiness Report 2021*
Association of Corporate Counsel and Pagefreezer
<https://www.acc.com/collecting-online-data-ediscovery-litigation-readiness-report>

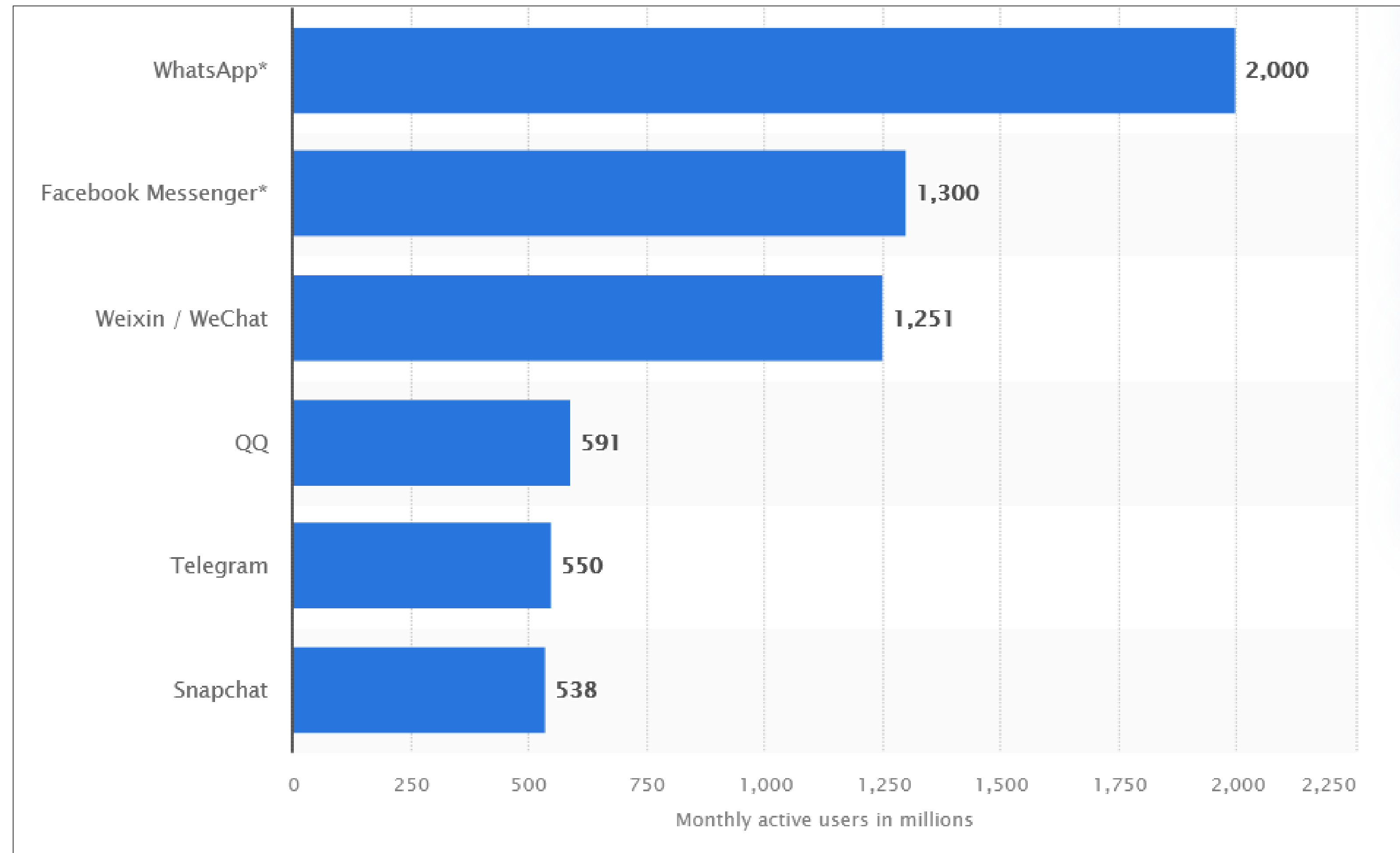


**Good Bye, Blackberry.
Hello, WhatsApp.**



Email Was Easy

Most popular global mobile messenger apps as of October 2021, based on number of monthly active users



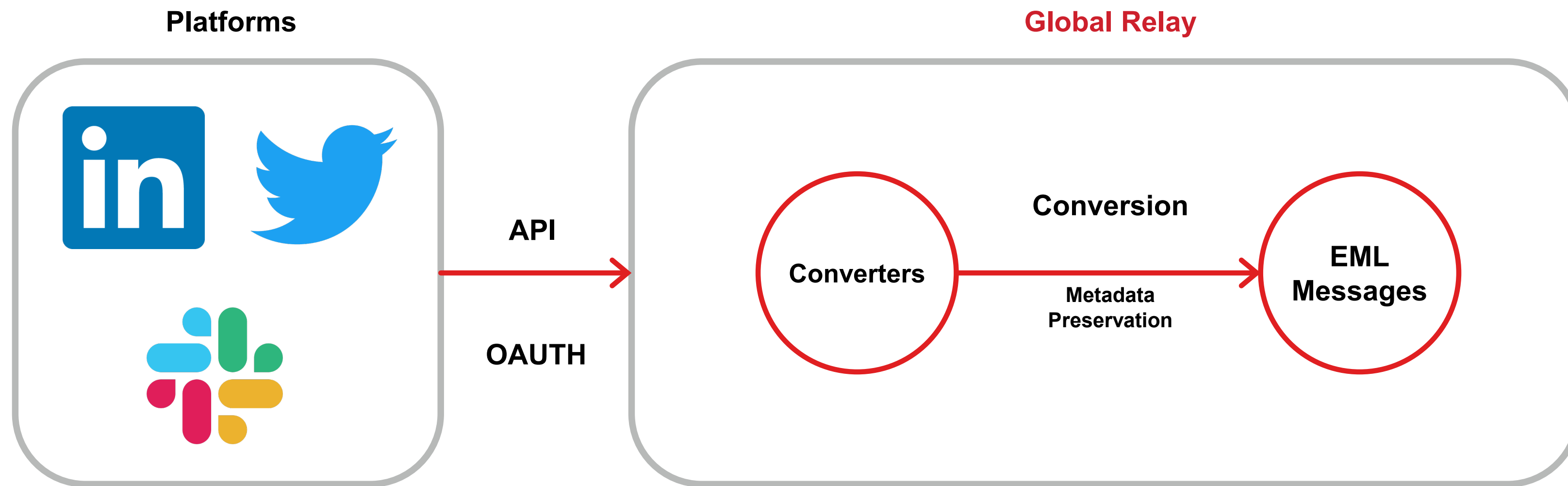
Source: Statista 2022

<https://www.statista.com/statistics/258749/most-popular-global-mobile-messenger-apps/>

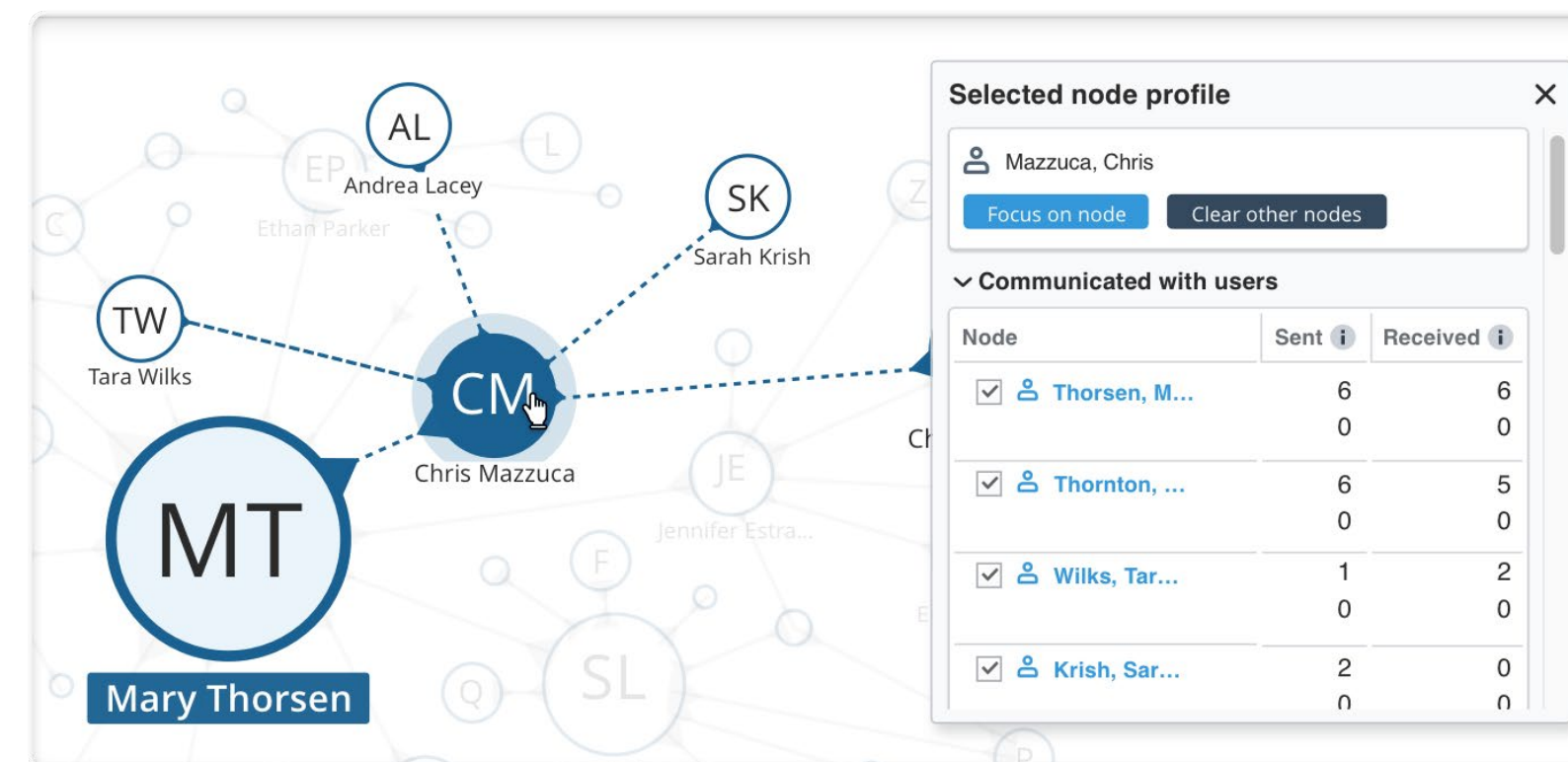


Preserve Quality, Accuracy & Completeness for all Data Types

API capture for social media and collaboration platforms

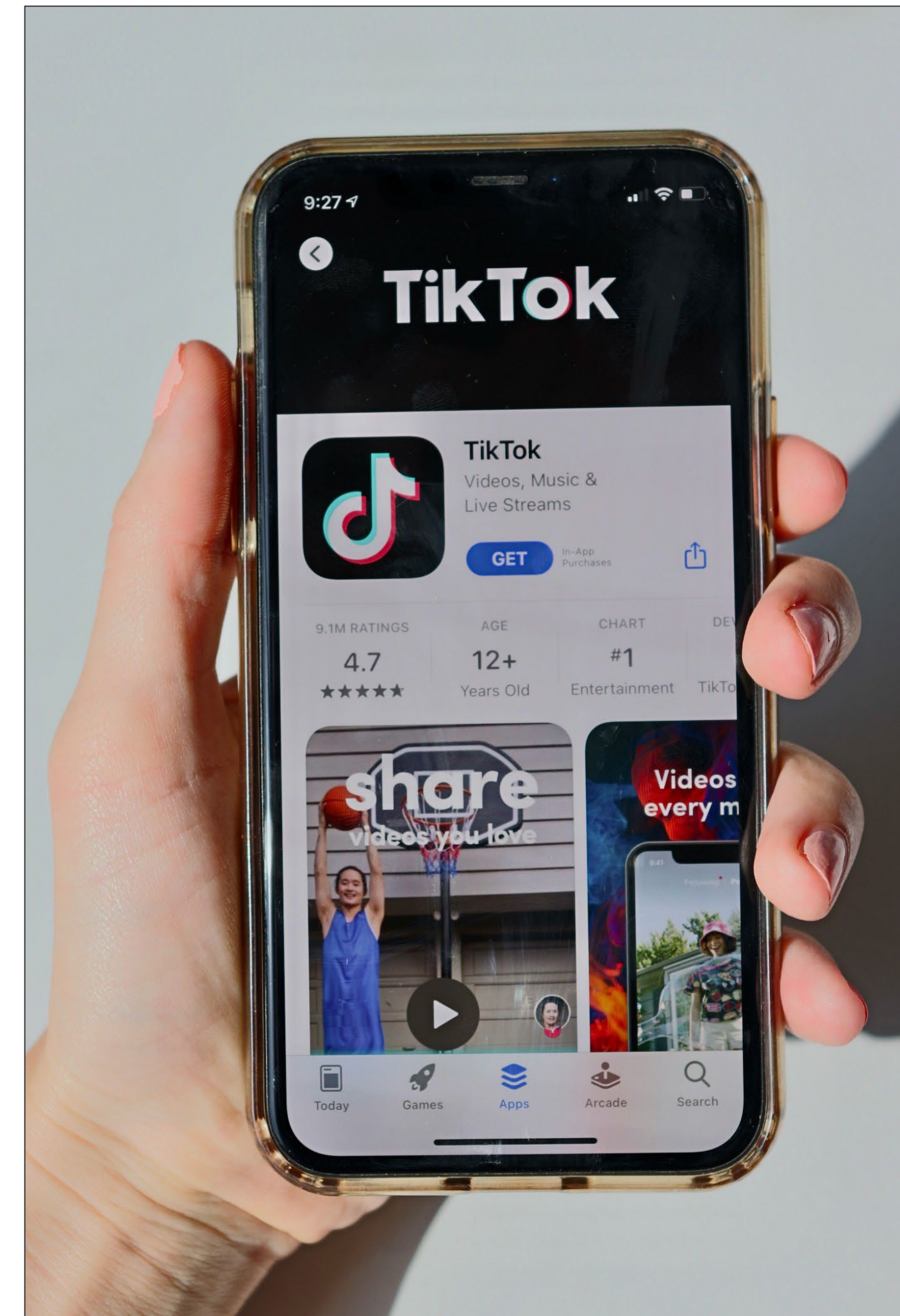


Visualize relationships between individuals, groups, and organizations in real time without exporting data





What's next...

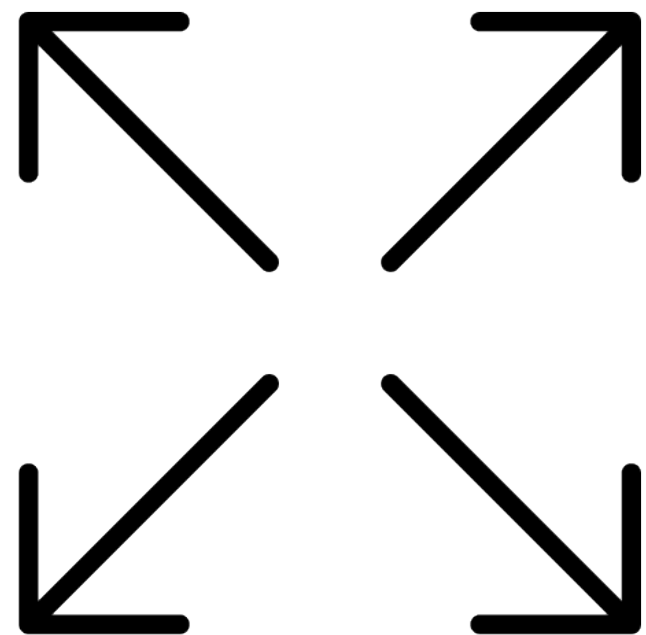




Stats for 1 Archive Cell (243 Customers)

Messages Ingested	19,869,376,826
Legacy Messages	13,108,754,273
Total Archived Messages	32,978,131,099
Size of Messages in PB	3.713

Size and Scale



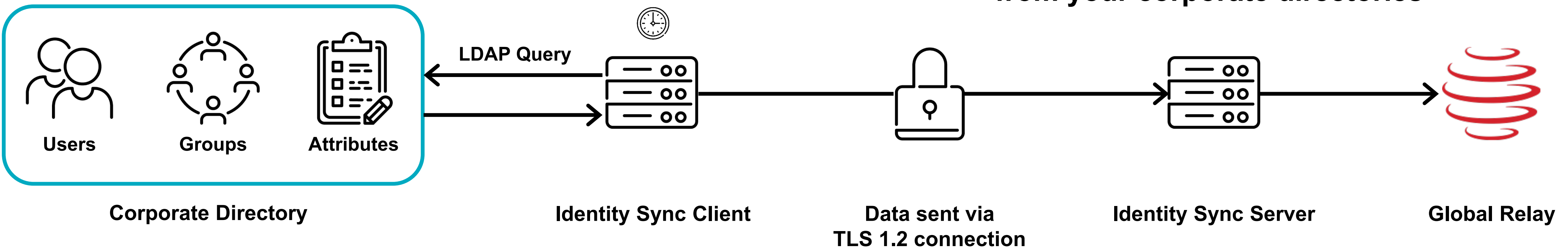
Architectural Scalability

- 10x current scale
- 100x current scale, with some adaptations

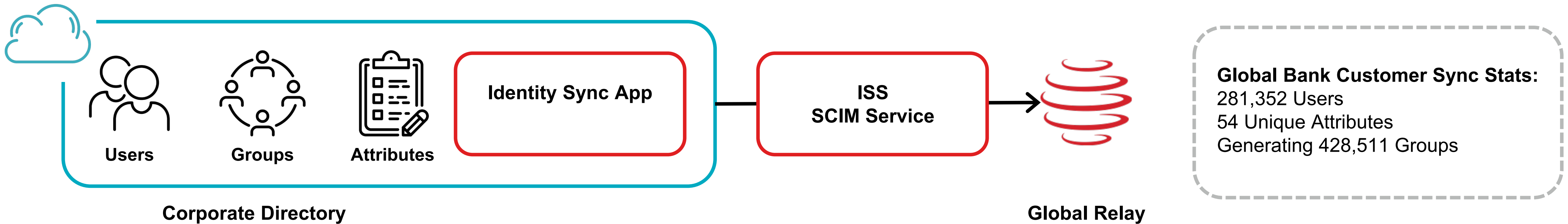


Population Management

AD / LDAP ON-PREM PULL



SCIM CLOUD-BASED PUSH





Private Workspaces for Every Team

Reduce cost and risk while improving productivity

COMPLIANCE



-  POLICIES
-  CASE MANAGEMENT
-  ADVANCED SEARCH
-  AI SERVICES

LEGAL



-  CASE MANAGEMENT
-  DATA EXPORTS
-  LEGAL HOLD
-  AI SERVICES


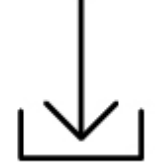
SURVEILLANCE



-  ADVANCED SEARCH
-  CASE MANAGEMENT
-  ANALYTICS
-  AI SERVICES

OUTSIDE COUNSEL



-  CASE MANAGEMENT
-  DIRECT DOWNLOAD



Data Access Rights

Authorized Admin must select which set of access rights is available

Personal Search

Access Rights



Own Messages



Shared Mailbox

In a Personal Search, users can be granted access to either their own messages, their own shared mailboxes, or both.

eDiscovery

Access Rights



Archive



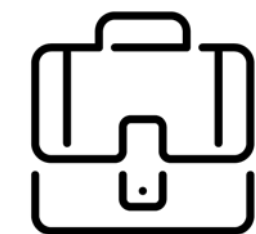
Keyword List



User



Group Tag



Case

Legal and eDiscovery users can be given access to any or all of the following:

- All messages in any Archive
- Any or all Keyword Lists
- All messages belonging to any particular user
- All messages with a particular group tag
- All messages within any or all cases



One Approach to AI

ML-enhanced message classification

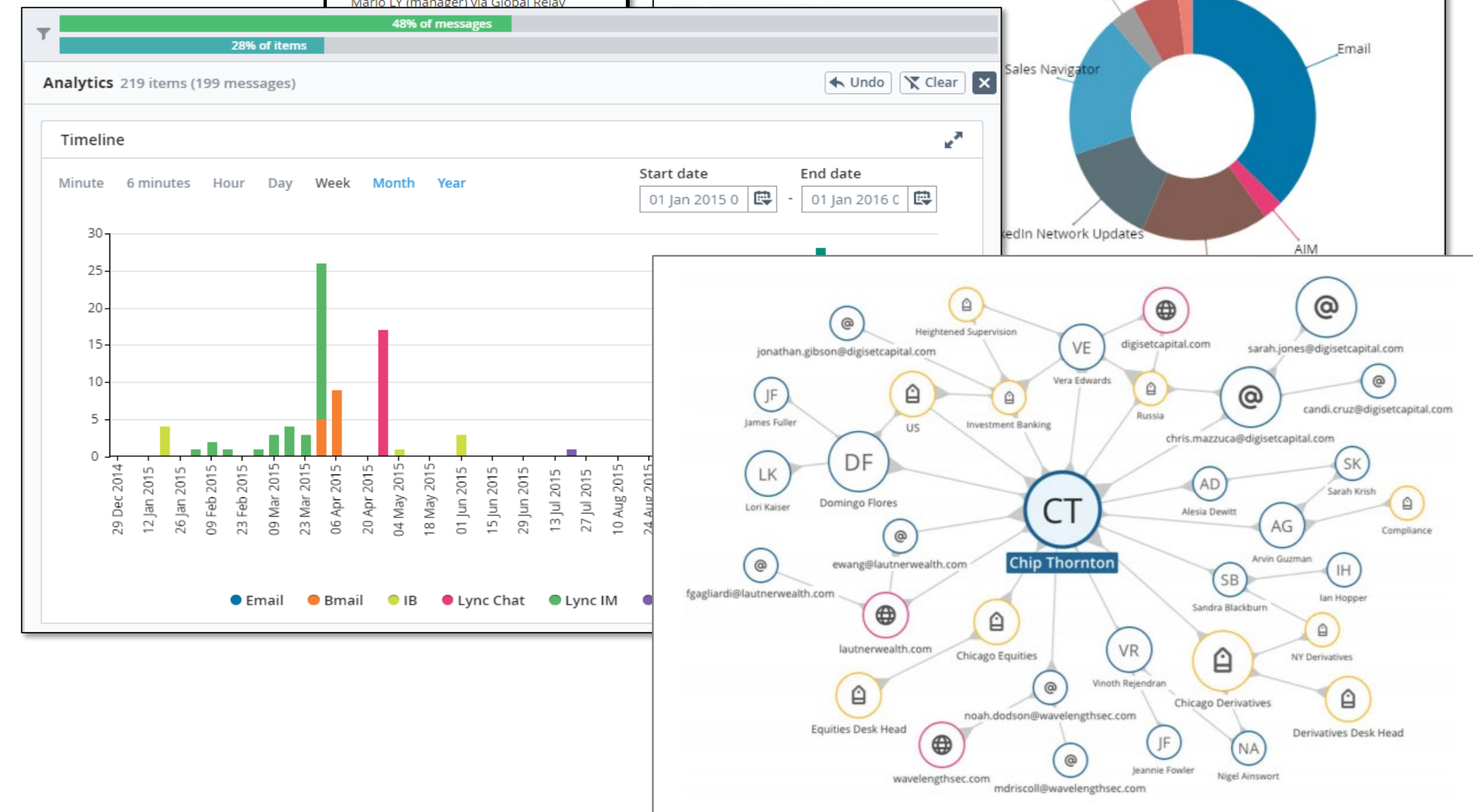
Next-generation comms surveillance

- Reduced FPs, Increased TP detection
- Specialized workflows & reporting
- Policy refinement via reviewer activity

The screenshot shows the globalRELAY interface. On the left is a navigation sidebar with options like ARCHIVE, Home, Supervision, Case, Policy Review, and various filters (Escalated, Pending, Reviewed, etc.). The main area displays a list of 813 flagged messages with columns for Sender, Recipients, Subject, States, Date (CDT), and Size. A detailed view of a message from Robert Sims is shown, including AI Predictions (English, Sentiment = 0.523) and Policy Matches (Escalated). A 'Details (2/2)' window shows the message history, including an escalation on 14 Oct 2021.

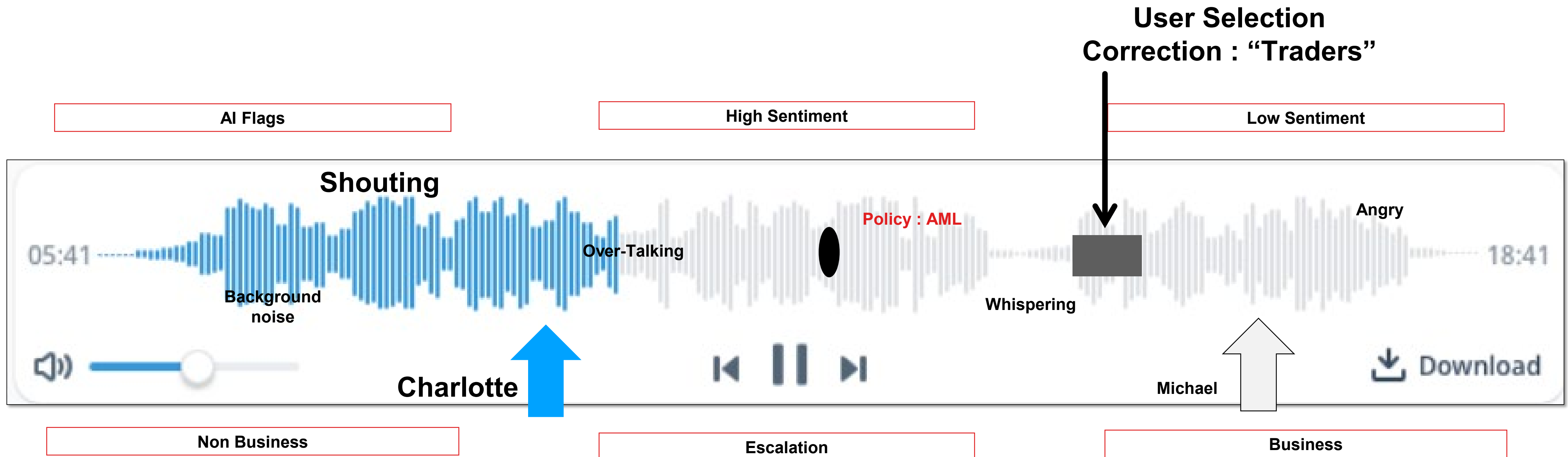
Actionable insight into communication data

- Rich, searchable metadata
- More effective investigation & eDiscovery
- Identify high risk communications/people/relationships





Behavioral/Emotional Analytics – Bringing it all together



Language : English (96%)

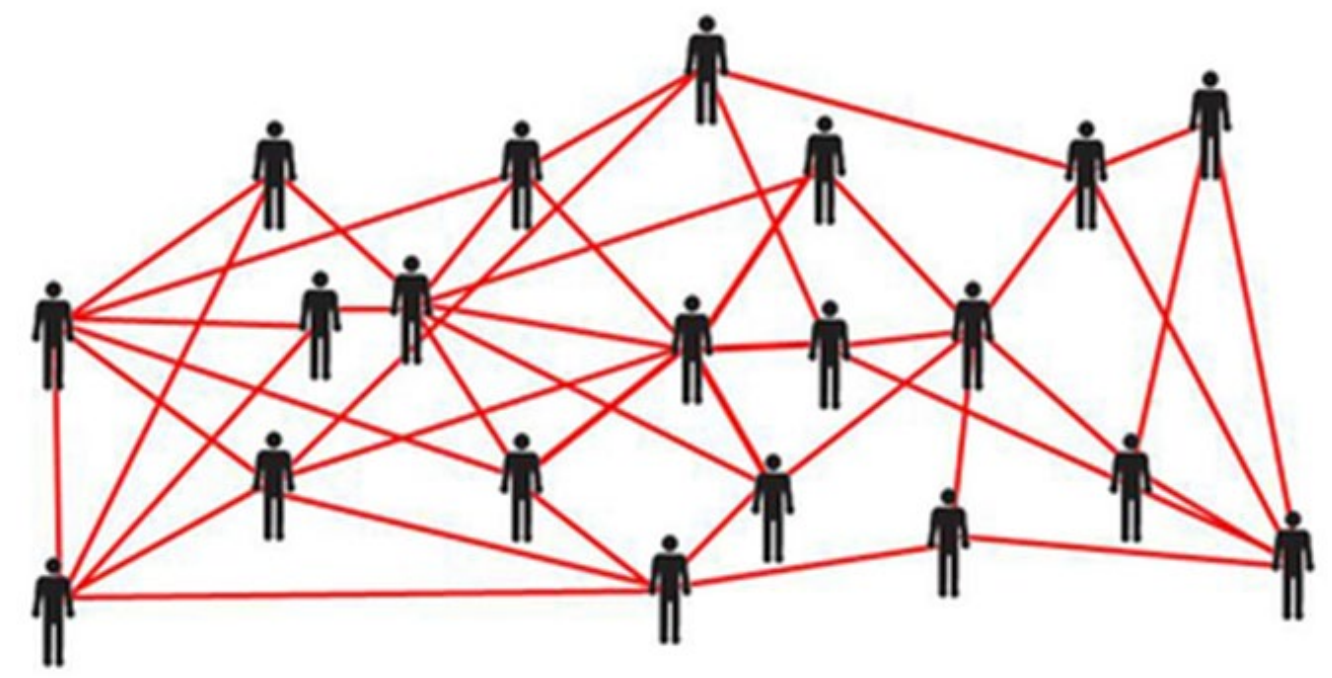
1:00 Hello Michael how is your day going (Charlotte)

2:00 My day is going great (Michael)

3:00 My team lost last night

4:00 We were doing so well right up to the end

15:00 Did you send the cash to **Panama** as instructed





Thank You

globalrelay.com

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