

GREAT FOR PROTECTING: IMPORTANT EMAILS • CLIENT INVESTMENT FILES • SCANNED FUND APPLICATIONS • TAX DOCUMENTS • REGULATORY CORRESPONDENCE • HR DOCUMENTS

## How Do You Prove You've Been "Good?"

These days, being a Financial Advisor isn't easy. Financial advisory firms need to be prepared to quickly answer the queries of clients, regulators or litigants, and be able to prove beyond a reasonable doubt the authenticity of client documents. But how? Regulators know that virtually any of your electronic documents — even records within "trusted" trading & accounting systems — can be easily modified, especially by insiders with "admin" access to the applications. And even your clients understand how easy it is to forge an email or modify a timestamp. So how in the world are you supposed to be able to prove to them — or to a third party — that you haven't tampered with your own records? How do you prove to a judge that a client did, in fact, instruct you to take a specific action at a specific point in time? More to the point — how do you protect yourself and assemble this proof while operating your day-to-day business with minimal staff and documentation that proliferates endlessly?

In a recent bankruptcy case involving American Express as plaintiff, the judge ruled that the company could not admit its own electronic records as evidence unless they could demonstrate their authenticity. Amex tried, and failed, three times to demonstrate the authenticity of their electronic records — and eventually lost the case. The winning defendant — a client who didn't have a lawyer — never even showed up for the court date!

This scenario is recurring with increasing frequency as lawyers, clients and regulators become more cynical about the validity of Electronically Stored Information (ESI). This growing cynicism is based on an awareness of the vulnerability of virtually all

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"If it is critical to the success of your case to admit into evidence computer-stored records, it would be prudent to plan to authenticate the record by the most rigorous standard that may be applied."

— *Honorable Paul W. Grimm*  
Chief United States Magistrate Judge  
US District Court, Maryland  
*Lorraine vs. Markel Insurance Company, May 4, 2007*

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"The security industry has been running backwards in our view—starting at the edge (perimeter) and working its way to the data itself. The availability and protection of the data is the core need... but trying to block sessions at the firewall or stripping out malignant emails... completely missed the insider threat problem. Perhaps closest to the core is a small company (ProofSpace) we've seen trying to establish the integrity of the data itself with the non-debatable tag of time."

— *Peter Kuper,*  
Internet Security Analyst,  
Morgan Stanley Research Brief, March 15, 2007

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applications to their "administrators", even in the context of modern content management solutions and other managed systems. There is growing awareness that managed systems only secure the perimeter. They can't protect individual emails, attachments, spreadsheets, or PDF files from tampering by people inside the organization, or while those documents are in the custody of clients or other third parties.

## Protecting Your Business — and Your Reputation

When you're "called on the carpet", ProofMark can easily help you prove that your records are clean and free of tampering. You can show that you did what you said you did at a specific time, and that you haven't modified any of your archived client transactions or communications. ProofMark is a patented, standards-compliant solution for ensuring and proving authenticity — on demand, or totally in the background, depending on the level of control you desire. Designed specifically for small to mid-size financial advisory firms, ProofMarks can even help you establish the validity of documents that have travelled outside of your organization's control, and it's especially effective at detecting (and therefore deterring) unauthorized deliberate or inadvertent changes to archives by trusted parties *inside your organization*.

ProofMark offers the strongest possible level of cryptographic integrity assurance and tamper detection technology. And it's available in a variety of forms. Pick the one that's right for your firm!

# proofmark™

FOR FINANCIAL ADVISORS

## ProofDoc™

ProofMark Desktop for Windows XP or Windows Vista is an easy-to-use application that enables you seal virtually any document or file with a tamper-evident “wrapper” and trusted timestamp, synched to the atomic clocks at the national Institutes of Standards and Technology (NIST) and the U.S. Naval Observatory (USNO). You can configure your solution to automatically support written supervisory procedures, such as automatically applying a ProofMark any document saved to a client folder. Say, for example, you want to seal and timestamp all incoming orders, to be able to prove trading instructions at a later date. With ProofMark you can prove who said what, when — and even prove to a judge or arbitrator that you couldn’t have changed a timestamp or inserted a false record, even if you had wanted to.

*From \$199 per user. Buy ProofDoc together with any other ProofSpace product and save 10%! Or buy three products and save 25%!*

## ProofMail™

Email is one of the easiest electronic formats to manipulate. It’s trivial to change a date or a timestamp, or to modify the contents of an old email and re-insert it into the stack. That can spell big trouble for your business. Fortunately, ProofMail makes it easy to digitally seal incoming and outgoing email communications and their attachments. There’s nothing to download, nothing to install or maintain. You simply BCC our certified ProofMail server on your outgoing mail. If there’s ever any question about one of your communications that somebody else has stored, you can be assured that it would be impossible for them to alter that document without detection.

*From \$199 per user. Save 10% when you buy ProofMail with another ProofSpace product, or save 25% when you buy ProofMail, ProofDoc and ProofMark On-Demand together!*

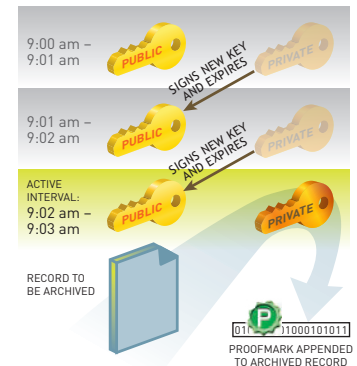
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ProofMark On-Demand delivers the benefits of ProofMark over the web! You can use it on any computer, be it PC, Mac, Linux or Unix — any platform with a web browser, anywhere you happen to be in the world. ProofMark On-Demand can be implemented rapidly, scales with your organization, and includes free upgrades. ProofMark’s robust service architecture is engineered for high availability, with redundant multiple failover protection and regular backups.

*From \$89 per user. Buy ProofMark On-Demand with another ProofSpace product, and save 10%... save 25% when you buy three products together!*

## The ProofMark Transient Key™ Technology

- In ProofMark’s Transient Key system, each time interval generates its own RSA key pair.
- As records are archived, they are signed by the active time interval’s RSA private key
- When an interval is about to expire, it signs the new interval’s RSA public key; the new keypair goes “on duty” and the old private key is destroyed.



## Key Features

- Provides self-validating proof of time with cryptographic tamper detection
- Cryptographically strong chain of events which is virtually impossible to alter after the fact
- No secrets to protect, since private keys are destroyed
- Needs no outside certification authority or trusted 3rd party

For a more detailed technical explanation of patented ProofMark Transient Key technology, download a free whitepaper at [www.proofspace.com](http://www.proofspace.com)

## ProofMark System Benefits:

- Virtually eliminates archive integrity threats from insiders, because changes can be immediately detected.
- Long-lasting tamper-evident and indelible trusted timestamping features persist on records, even when they travel outside of your organization. The authenticity of your backup isn’t tied down to a specific location, software or hardware implementation, enabling you to migrate your records anywhere without losing your ability to prove authenticity.
- Easy-to-use. ProofMark products can be configured to support your written supervisory procedures and operate almost completely behind the scenes, invisible to your staff and staying out of your way during the normal course of business. Later, when you need it, ProofMark dramatically simplifies the process of proving your records to be authentic. And because you can now prove authenticity of your \*electronic\* records, you can start making your office a lot more paperless — and avoid the hassle of tracking down paper “originals”.
- Provides irrefutable proof of records authenticity that will stand up to regulators, auditors, arbitrators and legal examination. ProofMark substantially reduces legal and forensics costs during client disputes and official inquiries.
- Helps firms comply with national standards and specifications including the ANSI X9.95-2005 specification for Trusted Time Stamp Management and Security, Federal E-SIGN legislation and Sarbanes-Oxley.
- Scalable from the small business to the enterprise. Able to seal several thousand transactions per second.
- Redundant multiple failover protection; regular backups are stored indefinitely in ProofMark’s Forensic Repositories world-wide.

Try ProofMark today for FREE! Visit [www.proofspace.com/unlimited](http://www.proofspace.com/unlimited) for a special savings offer.

For more information, call David McClellan, General Manager, Financial Services, at 312-933-8823 or email [david@proofspace.com](mailto:david@proofspace.com).



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