

Investment Management Firm Tackles Tough New SEC Regulations With CommVault DataArchiver and Galaxy Backup and Recovery

QUICK FACTS

Industry/Solution:

- Financial

Platform/File System:

- Windows

Applications:

- Backup, restore, and archiving, e-mail retention

Partner Hardware:

- Dell servers
- EMC Symmetrics SAN
- ADIC tape library

Challenge:

- Reliable backups, fast restores; meet stringent Federal regulations for electronic data retention

Competitive Challengers:

- Computer Associates ARCserve
- BackBone
- Legato

Solution:

- CommVault DataArchiver
- CommVault Galaxy Backup & Recovery
- Synthetic Full Backup

Benefits:

- Fast, reliable backups and restores
- Ability to restore individual e-mail messages
- Compliance with Federal regulations for electronic data retention
- Ability to sculpt the product to evolve with changing requirements

Customer Profile

An investment management firm with over \$5 billion in assets under management for institutional and private investors depends on CommVault DataArchiver and Galaxy Backup and Recovery to protect its critical data and meet stringent Federal regulatory requirements for the retention of electronic data. Archiving e-mail is an especially high priority for the firm, and improving their capability in this area became a top priority for the firm and the IT executive in 2003 when SEC regulation 17a-4 came into effect.

Data Management Environment

The firm's information technology infrastructure includes a primary site with 30 Intel-based Windows servers from Dell, 75 desktops, and 30 laptop computers. Primary storage is an EMC Symmetrics Storage Area Network (SAN) with a capacity of one terabyte. Backup storage is provided by a 24-drive ADIC tape library with capacity of 2.3 terabytes of compressed data. The firm also maintains an off-site Disaster Recovery (DR) facility, which includes a duplicate Symmetrics SAN and a tape library. The firm employs CommVault Galaxy backup and recovery software, and recently added DataArchiver software as part of its regulatory compliance initiative.

Data Integrity and 100% Uptime

"The primary missions of our IT group are data integrity and 100% uptime for every system in this facility," says a senior IT executive at the firm. "If any one of our systems goes down, it means lost money. We've got traders who must have their systems up to do their jobs. Today, the whole financial industry has become a 24x7 job. Our normal trading business day may be 9 to 4, but our investment strategy goes on around the clock. We are looking at markets around the world, and our investment professionals must have information in front of them 24x7." As a result, their data protection system is critical to the firm.

Regulatory Compliance Is Also a High Priority

Like every company in the financial services industry, the firm also recognizes that compliance with federal regulations is one of its primary missions. In 2003, the firm set out to upgrade its e-mail archiving capability. Federal regulations (specifically SEC regulation 17a-4) require financial services firms to retain electronic data, including emails, store the data on non-erasable, non-rewritable media, and be able to verify that data is safely stored, and that it can be reliably retrieved. Putting this capability in place became a top priority for the IT executive.

CommVault DataArchiver Was The Right Solution

When the firm looked at the available software options for e-mail archiving, they quickly came to the conclusion that DataArchiver software was the right solution for them. "One of the things you want to be able to do with your e-mail archiving is to be able to quickly and easily recover a single instance, a single message," explains the IT executive. "We were already using Galaxy software to back up our Microsoft Exchange e-mail servers. So we were already doing this every day. The other software vendors we talked to were 'almost' doing it, or they were 'going to do it soon.' My feeling was that this is touching one of our core functionalities. We don't want to introduce another layer of software. That is just too many variables. Will it all work together? That's taking a risk. But Galaxy does it now, we do it all day long. If we ever have a problem with Galaxy, we just call CommVault, tell them something isn't working, and they tell us, 'do this.' And it works! With CommVault, installing the DataArchiver for e-mail archiving was a very small risk. We just had to install another agent. We already knew it was a stable environment, so there was no risk as far as the applications interfacing each other was concerned."

The DataArchiver software runs every twelve hours. It goes into the MS Exchange journaling mailbox and collects the content indexes for every IN and OUT message e-mail, and loads them to a dedicated ATA disk array with a capacity of 800 gigabytes. The journaling mailbox is then cleaned completely, so it does not just keep growing larger. Twelve hours later, the process is repeated, and continues on a 24x7 basis. DataArchiver provides daily reports confirming that the data has been collected, how much was collected, and where it is stored.

Problems With ArcServe

The choice of CommVault DataArchiver was made easy for the firm because of their previous very positive experience with CommVault Galaxy backup and recovery software. The firm had been running Galaxy for about three years when they installed DataArchiver. "When I first got here," explains the IT executive, "we were using Computer Associates ArcServe for backup. To put it bluntly, it stunk! It was a joke. It blew up indexes, the licensing was terrible, upgrades didn't work, and we'd have to relicense to get it to work. I had not used that product before, so it was not a case of a pre-existing prejudice; I learned on the job to not like Computer Associates. So we wanted to get out of the ArcServe software as soon as we could."

"I started looking for a new solution," recalls the IT executive. "Veritas was too expensive, and my previous experience with Veritas was not good. We also looked at Backbone and Legato. But then CommVault came up. Nobody here had experience with CommVault, so I didn't have anybody to talk to. I contacted the local CommVault representative, and he came and showed me the product. I said 'Wow, this is the one we want, as soon as we get an opportunity.' The opportunity came when we bought as new EMC Symmetrics. We put in a line in the budget for Galaxy and made the move."

Benefits of Galaxy

Communications with clients and colleagues are critical for the firm, and the ability to quickly restore lost or misplaced data is essential. "When our users in the firm ask for something, to restore an email, for example, it's because they really need it," says the IT executive. "We've trained our users to ask themselves, 'do I really need this, or could I just ask the other party to re-send it?' So if they ask, it's important. That's why the Galaxy single-instance restore for Microsoft Exchange e-mail is really big for us. We had huge throughput issues with ArcServe. It took forever to do a single instance restore. They had the capability to do both single instance, or 'brick level' restores, or to restore the whole Information Store database. But

you couldn't do both at once, and the single instance restore took so long, a lot of times you'd just restore the whole database, which also took a long time. With CommVault, we can do both. If someone calls and says, 'I lost a message from a couple of days ago, can you get it back?' the answer is 'Yes,' and it takes hardly any time, less than 10 minutes. Or, if their whole e-mail is down, we can restore the whole Information Store database."

Galaxy has delivered consistently strong performance for the firm. "It's all speed," says the IT executive. "We do full backups every night, of about 600 gigabytes. We use the Galaxy Synthetic Full Backup capability for the backup of the Information Store. That lets us do the backup quicker and less intrusively. We do regular full backup on everything else, which includes lots of SQL databases, word docs, etc. Galaxy is built on an SQL database, which is ten times better than the ArcServe database. We're confident that Galaxy is built on the right technology, and that Galaxy and DataArchiver are the right data management and protection software choices for us. Going forward, Galaxy gives us the ability to sculpt the product to evolve with our requirements. We view this as a major reason why Galaxy is a best of breed product."

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