



SERVICES

## CASE STUDY

### GUARANTEED, VERIFIABLE BACKUPS FOR THIS PREMIER TRADING FIRM

# The ultimate, seamless risk-management solution: Back up everything using N-1 Services' U-Vault™

**A** well-established, large Midwest trading firm needed a quick, highly reliable and verifiable data back up solution that would also allow immediate independent regulatory audit access to their trade data and satisfy Securities and Exchange Commission compliance requirements.

This particular trading firm serves a myriad of some of the highest volume traders on major U.S. and European Exchanges. The firm has earned well deserved industry-wide respect for its highly reliable network, dependable trade processing applications, redundant infrastructure and superior trade execution speed. Exceptional customer service level performance, risk mitigation along with a robust, resilient back up and recovery capability are the paramount service-oriented trademarks of this firm.

The company was faced with an impending audit by one of its regulators and needed a less manually intensive, more easily verifiable backup solution that would not only enhance reliability, but also seamlessly satisfy the exhaustive, recurring annual audits conducted by industry-wide regulatory and compliance agencies. N-1 Services had successfully worked with other companies facing similar challenges and had the technology, experience, and the expertise to create a data protection solution that exceeded expectations.

In this particular situation, however, the trading firm notified N-1 Services on a Thursday that by the following Tuesday, they needed third party verification for a Securities and Exchange Commission audit that their data back up, retention and recovery capabilities were rock-solid.

#### Goals

Not only was a quick response required to satisfy securities industry regulatory requirements, the company also needed a supplementary solution to its existing back up and recovery methodology that would ensure complete backups within a reasonable timeframe and could be relied upon to successfully complete verifiable backups nightly. Regulatory compliance also requires extensive data retention of all backed-up (recoverable) data. Accordingly, reducing the overall cost associated with backing up and retaining the media was an additional sought after goal.

Primary objectives included:

- Satisfy the SEC's request for immediate verification of recoverability
- Achieve a centralized, complete and timely data backup solution
- Eliminate manually intensive burden from critical staff
- Achieve and seamlessly maintain ongoing regulatory compliance
- Reduce cost of media back up and permanent data archival

#### Customer Snapshot

**Line of Business:**

Securities Industry  
Financial Services

**Location:**

Midwestern, U.S.

**Product:**

N-1 Services U-Vault™

**Goals:**

- Achieve centralized, complete, timely and verifiable backups
  - Eliminate manually intensive overhead burden from staff
  - Seamlessly achieve regulatory compliance
  - Reduce cost of media back up & recovery
- Challenges:**
- Unable to quickly provide verifiable results in response to an SEC audit that all data was being accurately back up allowing reliable restore and recovery
  - Soaring media cost due to regulatory compliance
  - Burgeoning backup media and hardware costs resulting from rapidly increasing customer trade volumes

**Solutions:**

U-Vault™ provides confidence that all backups were completed successfully and can be restored at a moment's notice. The U-Vault™ solution also provides easy verification of recoverability to Regulators.

**Results:**

The trading firm significantly cut costs and substantially reduced the burden on existing staff, enabling them to maintain critical focus on valuable, high priority projects to better ensure continued high quality, premier customer service levels.

## **Solutions**

This premier global trading firm was considering multiple solutions to this challenge prior to selecting N-1 Services. Late Thursday, N-1 Services was engaged on the project. Technical staff worked literally around the clock throughout the weekend and was able to successfully achieve data back up and recovery verification to the satisfaction of the SEC by the following Tuesday. As a result, the trading firm retained N-1 Services to continue providing comprehensive data back up and recovery services.

The unique U-Vault™ solution, based on industry leading delta block level disk-to-disk backup and recovery technology, costs approximately one-third as much as similar vendor solutions, and with its suite of services, now provides the firm with a more robust, comprehensive solution. With the new implementation of U-Vault™, the firm's IT staff can now focus on more strategic, critically needed projects, rather than expending an excessive amount of resource time working to ensure adequate back up and recovery capabilities. Back ups are now consistently successfully completed, and restores are easily accessed online, so in the event of a disaster, restores can be performed remotely. Within minutes, a point-and-click restore, can recover selected data elements. Not to be overlooked, recurring regulatory audits can now be seamlessly responded to with verification of the firm's back up and recovery capabilities easily achieved.

## **Results**

Today, this highly successful and industry-wide respected global trading firm is managing (and protecting) more data than ever before. It is now securely backed-up for nearly instantaneous recovery and regulatory compliance is assured. Subsequently, the firm has dramatically reduced the resource overhead and the cost associated with managing a data back up and recovery solution that works. Critical resource time can now focus on adding even greater customer service oriented value to the business and its client population.

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