



# Global Asset Management Firm

## Global Asset Management Firm Implements Rocket® Arkivio Intelligent Data Management to Solve Regulatory and Compliance Challenges

Global asset management firms pool investors' funds and invest them to provide diversification, liquidity, and professional management not typically available to an individual investor. Institutional Investor's ranking of the top 300 US firms showed their assets grew 10% in 2013 to \$42.3 trillion. This growth rate in conjunction with a diverse, global client base and heavy government regulation, creates an environment where Information Technology (IT) must have a strategic partnership with the lines of business. Any error or delay in transmitting a buy or sell order can have up to millions of dollars of financial impact as well as severe repercussions to the firm's goodwill and reputation. Any anomaly also opens the door to regulatory inquiry and potential legal action.

In general, an asset management firm is a company that invests its clients' pooled funds into securities that match its declared financial objectives; e.g., mutual funds. The process of investing requires around the clock monitoring and analysis of companies and markets by an elite group of analysts supported by a strong technology team. At any moment a market can crash or soar; an auditor can call; or a legal action may need to be supported. Whether it's supporting analysts, sales, customer support, legal or back office applications, the computer systems and their data must always be available and running at peak performance.

### The Situation

A premier, global money management firm headquartered in North America with investment offices in Boston, London, Mexico City, Singapore, Sydney, and Tokyo, is on target to manage \$500 billion in assets on behalf of individual and institutional investors worldwide in 2014. This firm looked to the Rocket® Arkivio products to help them intelligently solve a data management challenge: properly retaining and managing data that was subject to government regulation and compliance actions.

### Industry

Financial Services

### Challenge / Situation

Seamlessly manage unstructured data stored in NetApp and EMC storage systems from 1,700 employees managing \$500B in assets from 23 offices around the globe and ensure that they are properly retained for government regulation and compliance actions.

### Solution/Products

Rocket Software Archive and Backup Solution  
Rocket Arkivio Autostor

### Results

Rocket Arkivio Autostor provided a simple, intelligent, sophisticated way to gather, classify and copy the proper data to the local and DR compliance repository. Changed and new files are automatically copied to the repository. Data easily moves between NetApp and EMC systems and is transparently accessed by end users.



Throughout the Company's almost 100 year history, it has persevered and thrived through business cycles, volatile markets and recessions, including the great depression in the 1930s and the great recession started by 2008's financial crisis. Business growth for the firm has been extraordinary with assets under management growing at a 22% compounded annual growth rate (CAGR) since 2009, pre-tax earnings at 37% CAGR, and 92% of their funds ranked in the top half of their Lipper category. These results were delivered by more than 1,700 employees, including a team of more the 175 research and quantitative analysts and portfolio managers, from 23 offices in major cities around the world. The net result is that the firm increased its market share of the U.S. mutual fund industry in 2013 compared to the previous year.

## The Challenge

The firm has a four person team to manage all of the storage for the entire company. The data resides on a complex infrastructure built on advanced EMC and NetApp storage systems and includes SAN switches, the backup environment, and connections to all of the remote offices scattered across the globe. The storage architect described the challenge:

"The mandate was for all data that may be subject to regulatory or compliance scrutiny to have a copy placed on a long term retention storage device. We were using a NetApp NearStor R200 Write Once Read Many (WORM) device with SnapVault. The challenge was selecting which files to send to the R200 and how to purge the files once their useful life was over. We had to physically destroy the R200 to remove data and there was no capability to remove duplicates so the system size kept growing, even though we only needed to move about a TB of true compliance related data each month."

"We wanted to replace our R200 with an EMC Centera object storage system and replace our tape back-up systems with Data Domain storage systems. We also needed to have a way to manage all of the data and help us select what to move and have it interoperate between NetApp filers and EMC VMAX, Centera, Data Domain, Vplex, and VNX systems. Any data that was stored in the repository on the system at the corporate headquarters, also needed to be replicated to a system in a disaster recovery data center thirty miles away."

## The Solution

WORM and tape devices were the focus of some of the vendors' proposals. However, the storage team had decided to move to an object storage system. While object storage systems are very powerful, able to store a single instance of a file, and hold the data as immutable for its life in the repository, the data still needs to get delivered to the repository. "Our research showed that the Rocket Arkivio products gave us a simple, intelligent, sophisticated way to gather, classify and copy the proper data to the local and DR compliance repository," continued the storage architect. "We have a 60TB file system on one of the NetApp systems and several other NetApp servers that have data that is critical to keep for regulatory and compliance purposes."

"It's a very simple application to use once you understand how it works. We quickly set up policies with the Rocket Arkivio software to automatically scan the NetApp file shares and look for files that have been

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Storage Architect  
Premier, global money  
management firm  
North America



changed or are new and copy those files to the Centera. We looked at several tools that provided data collection on a very large volume and the Rocket Arkivio software is much better than any other tool out there. We first used it on a common drive to see what files haven't been accessed in 30 days. Since this is "scratch space", we could implement a policy to delete any file after 30 days of inactivity."

"More importantly than that first use, we found that we really wanted an intelligent data management system to scan, categorize, and copy regulated data to properly get the most value out of the Centera object storage systems. We were able to seamlessly bridge data discovery and movement between NetApp and EMC systems using the Rocket Arkivio data management software. The software works flawlessly, quickly scanning for and classifying the regulatory data we need to retain, and then copying it to both the Centera and the disaster recovery site."

"Data managed by the Rocket Arkivio software is classified as important, critical data. If someone needs regulatory files, the files must be able to be quickly pulled off the Centera. Because of this critical nature, we test the data two to three times a year, audit it once a year to ensure access to the data and that it's readable. The Rocket Arkivio system has passed the tests easily over the past four years. We needed to prove we could do a restore to a point in time of the Company's website during one audit. We were able to use the Arkivio software to get the files off the Centera in real-time to satisfy the requirement rather than relying on the LTO tape backup."

"The Rocket people and customer support have been fantastic. We went from version 4.4 to 6.2.2 and they handled all the custom scripts, all the customization, and tested it six ways from Sunday. It was the smoothest multi-hop upgrade I've ever done in my career and I've done a great many of them."

This storage architect is looking to expand the use of the intelligence he receives from the Rocket Arkivio software. "In the future, I know I can go after the duplicate data that is sitting on our systems and save a lot of money on storage and support costs. We can see that 40% to 60% of the data is duplicate data. The reporting capability has management excited with the graphics and dashboards we can show them. They now want more scanning to really understand what data is being stored and what can be removed from the primary storage systems. We can use policies to continue to copy data to Centera and remove older 'cold' data from the primary storage but still use the Rocket Arkivio software to place a small link between the Centera and where the data was located in case the end user would need it again."

The storage architect concluded, "The Rocket Arkivio software is an excellent product that works incredibly well with the Centera and is seamless with the NetApp filers. It also integrates very effectively with the internal systems we use to generate the data. The sales and support teams are top notch and I am looking for new ways to expand our use of the system. Bottom line—I am a happy customer."

Call the Rocket Arkivio sales hotline at +1-650-237-6246 or visit the company website at <http://www.rocketsoftware.com/brand/rocket-arkivio> if you would like to know more about Rocket Arkivio products and how you can implement a cost-effective, enterprise class, intelligent data management system.

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