

# LUMIGENT

The leader in providing comprehensive data auditing solutions



- Pass your IT audits
- Address compliance requirements
- Enhance data security

# Protect Your Data Pass Your Audits

## Today's complex environment

Data security, protection of private information, and theft of exposed data have become issues of the highest importance for businesses of all sizes in all industries. Sensational corporate failures continue to expose weaknesses in corporations' abilities to manage risk and protect assets. These problems have led to an increased awareness and scrutiny among consumers, company officials, and regulators – and in response, they are demanding increased corporate responsibility. This, in turn, has prompted a flood of new regulations such as Sarbanes-Oxley, PCI, and HIPAA, which were created to define higher operating, security, privacy, and data management standards.

Closely tied with these issues are audits. In this era of increased responsibility, audits are a necessary component of risk management; they help an organization understand how it is performing against policies. However, the necessity of complying with regulations and the manual efforts often needed to satisfy them can divert vast amounts of money and time away from productive business activity.

Technology solutions that prevent loss or exposure of sensitive data and automate business processes for sustainable compliance offer tangible returns. As reported by the Wall Street Journal, companies that perform checks on their internal controls enjoy a higher share price and, on average, out perform the market.<sup>1</sup>

## Lumigent: The Data Auditing Solution of *Choice*<sup>™</sup>

Lumigent is the market leader in data auditing for compliance and security. Through a unique combination of people, experience, and technology, we translate risk-management policies into automated controls for IT data governance. We improve the security of information assets by detecting unauthorized access to data and delivering a continuous assessment of risk. Our technology provides you with a comprehensive view of your data environment so you can measure performance against compliance and implement controls to cover areas of weakness. To substantiate audit requirements for proof of control over information assets, we deliver a complete and irrefutable audit trail of information access and use. With Lumigent, organizations minimize risk, ensure regulatory compliance, and increase security, while saving time, money, and effort.

## Lumigent Audit DB:

- **Gives auditors evidence of control over information assets**  
Delivers the most complete – and irrefutable – audit trail to support requirements for an independent and objective evaluation of controls and policies for data security.
- **Ensures controls and policies for data security are working**  
Provides deep data capture down to granular “before and after” details to support cause-and-effect resolution; identifies areas of weakness.
- **Streamlines regulatory compliance**  
Provides an organizational view of compliance (SOX, HIPAA, PCI, etc.) and alerts when policies are violated; reduces preparation time for IT audits by automating audit and reporting processes.
- **Detects unauthorized access to sensitive data**  
Captures insider activity and issues alerts immediately when improper activity is detected.
- **Enables regulation of privileged users**  
Monitors DBAs and others with direct access to information assets – and it cannot be circumvented.

# Introducing the Lumigent® Audit DB™ AuditFlex™ Architecture

## A Unified Solution for Database Security, Security Policy Management, and Data Auditing

Until now, organizations have been forced to choose between different technological approaches to data auditing, often compromising the completeness of their implementation by selecting one type of solution over another.

Lumigent Audit DB breaks the technology barrier with the introduction of AuditFlex – a unique architecture offering you the freedom to select the combination of audit technologies that is right for your company. With AuditFlex, you can enforce corporate security policies, automate the audit process, and detect unauthorized access to sensitive data in a single, unified solution.

Now you can satisfy strict auditing and compliance requirements with deep database auditing, plus get database security and real-time alerts – together.

## How We Do It

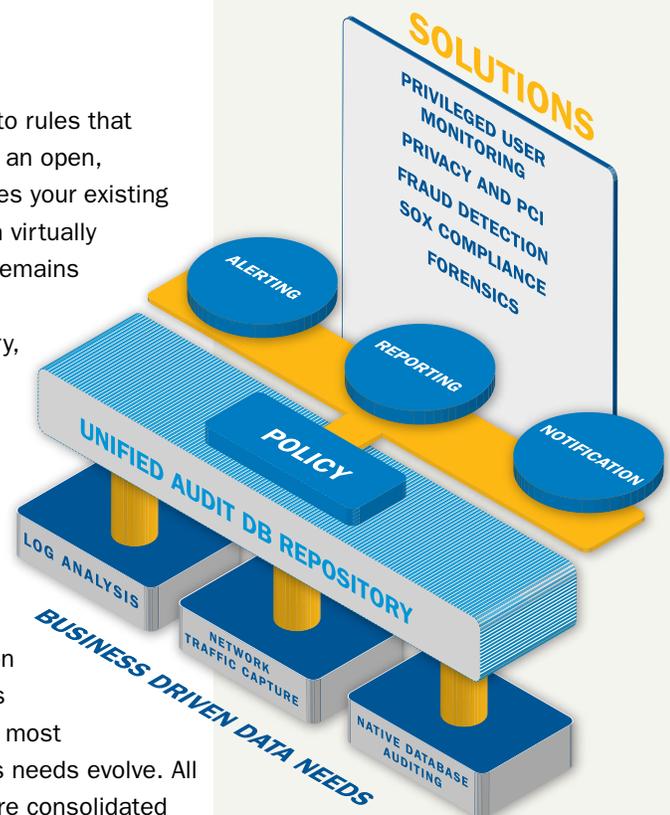
Audit DB translates corporate policies governing data access into rules that can be understood in the context of database systems by using an open, scalable, software-based architecture. This architecture leverages your existing infrastructure utilizing an enterprise-class database and runs on virtually any hardware platform. Thus, control of your critical audit data remains under your existing database security, backup/recovery, and hardware migration policies without locking you into a proprietary, “black box” approach.

## Three Technologies: One Solution

With the AuditFlex architecture, Audit DB has become the industry’s first and only unified solution that simplifies data auditing by supporting all methods of data collection: transaction log reading, network capture, and native database auditing. This unique capability provides the flexibility to select the technology most appropriate for your needs and to easily change technologies as needs evolve. All audit sources are managed from a single console and results are consolidated into a single, secure enterprise repository for reporting and analysis.

## Choose the solution you need

The CSO of one of the world’s largest banks was facing a major dilemma. He needed to settle on a corporate standard for data auditing for his company, but each division had very different requirements. It was proving impossible to satisfy all stakeholders because no single technology could meet everyone’s needs. Lumigent provided the ideal solution, as the only vendor to provide flexibility in audit collection. In the words of the customer, “At the end of the day, Lumigent provided options. The other vendors were locked into one technology.”



# Comprehensive Security

## Detecting Security Events in Real-Time

By capturing security events at the network layer, Audit DB delivers instant notification of data security violations. Now you can ensure compliance with the industry's most secure and irrefutable audit trail, as well as support database security requirements with instant alerts on database events. Using Audit DB, you can track who went where and did what – and find out who tried to gain access and was denied.

## Securing Data From the Inside Out

By many accounts the primary source of data corruption, whether by fraud or as a result of error, comes from insiders with privileged access to information assets. As a result, organizations are realizing that the risk is much too great in simply trusting employees. In addition, the current regulatory climate demands that all access to critical data be monitored.

Audit DB is the only solution that produces a complete and trusted audit of insider access and use of data. Because it can capture activity at the data-level™ – from the database logs – it is the only solution available today that can track the activity of privileged users. It cannot be circumvented and even tracks the activity of DBAs or others with direct access to database assets. In the event of suspected wrongdoing, the solution provides organizations with hard proof of an employee's steps – and missteps.

## Enforce Corporate Policies

Within minutes of implementing Audit DB, the CISO of a major mutual fund company was alerted to a privileged user making changes to a production database during business hours. The CISO immediately picked up the phone to call the individual. He discovered that the user had been operating outside of company policy for many years. While the behavior was not malicious in intent, it exposed critical production systems to significant risk. With the implementation of Audit DB, the corporation was able to enforce corporate behavior around security policies better than any security system ever had previously. Within days, the company saw a drastic reduction in violations to their change management policy.

## INSIDER ABUSE STATISTICS<sup>2</sup>

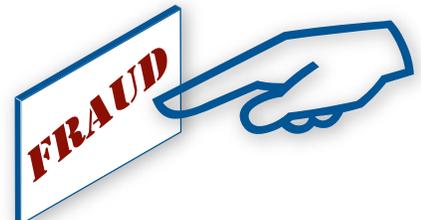
**An average 5% of annual revenue loss is due to fraud**



**Most fraud goes undetected for at least 18 months**



**Most fraud is detected by tip or accident**



# Audit and Compliance

## It's all About the Audit

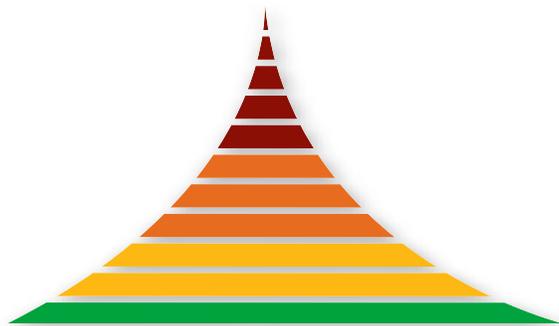
Audits help organizations evaluate their state of preparedness. They provide evidence that the right controls and operations are in place to properly respond to both known and unknown risks.

Audit DB is the only solution that provides independent, unbiased, and trusted evidence of control over data for the substantiation of strict compliance and audit requirements. With Audit DB, organizations have an easier time passing audits. In addition, staff members can remain on core IT responsibilities because auditors will not require excessive sampling.

## The Compliance Solution that Pays for Itself

A report from AMR Research states that spending on governance, risk management, and compliance initiatives will rise to \$30 billion in 2007.<sup>3</sup> The cost of non-compliance is hard to measure, but very real. Damage to brand value, lawsuits, even bankruptcy are the tip of the iceberg when a failure to implement proper data governance results in a breach of confidential information.

Audit DB reduces the time required for compliance and audit preparation by automating typically manual efforts. It frees IT staff so they can stay focused on responsibilities that support the bottom line. Based on a study conducted by Lumigent across multiple deployments, Audit DB provides tangible cost savings that more than offsets customer investments. On average, Audit DB delivers a 103% return on investment and a payback period of less than 11 months.<sup>4</sup> In addition to the direct cost savings, organizations gain major benefits in the areas of risk mitigation, brand protection, and preservation of market value.



**103% ROI**  
In Less than 11 Months

## Pass Your Audits

“To comply with Sarbanes-Oxley regulations, our auditors required that we monitor each and every data change, including those done by privileged users. The ability to view activity directly at the transaction logs – where data is actually stored – is an essential technical feature that enables us to fulfill such a requirement. Additionally, Lumigent Audit DB helps us efficiently develop reports that can be made easily accessible to our auditors to demonstrate compliance.”

– Dean Kelly, Sr. VP Applications  
Support Services & IT Procurement,  
XL Capital

## About Lumigent

Lumigent was founded in 1999 and was the first company to innovate a unique and patented database log reading technology. Based upon customer needs for an enterprise-scale data auditing solution, Lumigent evolved this technology into Audit DB. Audit DB is the most widely adopted technology for data auditing, used by some of the largest, most well-known and highly regulated companies in the world – including 6 of the 10 largest financial institutions.

## Lumigent Customers Include

### Financial:

- The world's leading stock exchange
- The second largest bank in the world with more than 60 million customers
- One of the world's largest financial services firms with more than \$1 trillion in assets

### Energy:

- The world's largest oil company
- A large U.S. electricity distributor with more than four million customers
- A natural gas, crude oil and liquids transporter

### Healthcare and Pharmaceuticals:

- An internationally renowned medical center ranked in the U.S. top 50 for cancer research
- The largest U.S. pharmaceuticals distributor of health and beauty care products
- A U.S. household name brand and distributor of over-the-counter medicines

### Manufacturing, Retail, Media, and Entertainment:

- A media conglomerate with assets encompassing movies, music, TV, and theme parks
- A well-known apparel company and shopping mall mainstay
- One of the largest car manufacturers with a reputation for class, performance, and luxury

## A Skilled Services and Support Team

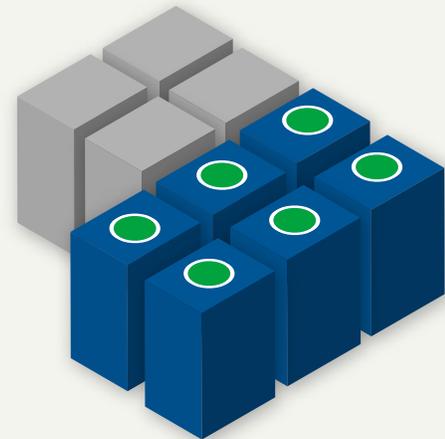
Our experience with heavily regulated corporations and our partnerships with regulatory bodies and database vendors give us the expertise to help you achieve corporate compliance and data security that matches or exceeds industry best practices. A skilled IT controls and compliance professional will help you evaluate your existing controls to determine where we can augment or fill a control gap. We can design your audit policies and reports for you – to map directly to compliance requirements – and validate them with your internal auditors to ensure success.

<sup>1</sup> David Reilly, 5/10/2006, Wall Street Journal Online "Checks on Internal Controls Pay Off"

<sup>2</sup> 2006 ACFE (Association of Certified Fraud Examiners) Report to the Nation on Occupational Fraud & Abuse

<sup>3</sup> Kevin Reilly, AMR Research, "AMR Research Finds Spending on Sarbanes-Oxley Compliance Will Remain Steady at \$6.0B in 2007", February 22, 2007.

<sup>4</sup> "The Tangible Benefits of Implementing Data-Level Auditing with Lumigent Audit DB", a 2006 study of six Lumigent Audit DB implementations.



**Lumigent is used by  
6 of the 10 largest  
financial institutions**

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