

# Intelligent Supervision

## Easing Compliance for Financial Services and Highly-Regulated Organizations

### KEY BENEFITS

- Smarter review helps you collect and verify compliance violations faster and more accurately.
- Enhanced visibility simplifies monitoring. This helps improve productivity and collaboration, while highlighting major compliance risks and violation trends.
- Broad, native support for a wide array of digital communications enables comprehensive coverage.
- Evidence of Supervision reports help prove compliance with stated policy.

Financial services firms and other highly-regulated organizations face the world's toughest regulatory scrutiny. FINRA, SEC and IIROC, for example, require formal retention and supervisory review programs for all communications. To help ease compliance and reduce risk, Proofpoint Intelligent Supervision helps you build, maintain, refine and execute an audit-ready supervision plan.

### Proofpoint Intelligent Supervision

Proofpoint Intelligent Supervision is a cloud-based supervisory platform ideal for even the largest and most complex financial services firms. Integrated with Proofpoint Enterprise Archive, it helps identify, review, address and maintain audit trails. Incoming, outgoing and internal correspondence is captured. This advanced platform helps you comply with all SEC, FINRA and IIROC rules far more efficiently than you could with legacy supervision systems or manual tools.

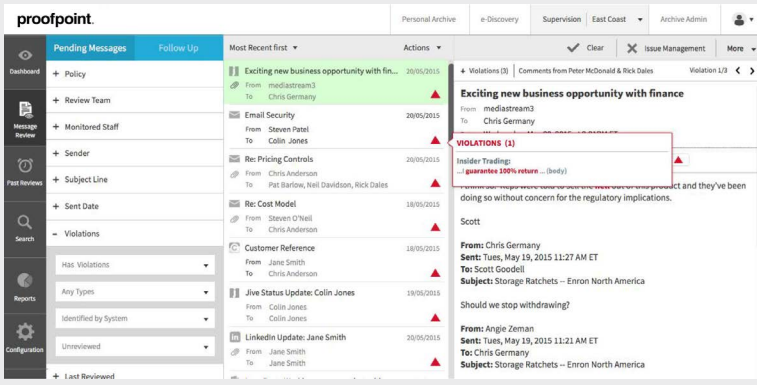
### Perform Smarter Review

Intelligent Supervision lets your reviewers work smarter, not harder. It makes review more efficient by eliminating extra "noise" for your review team to sift through. This means you can pinpoint compliance violations faster and more accurately. With Intelligent Supervision, you can:

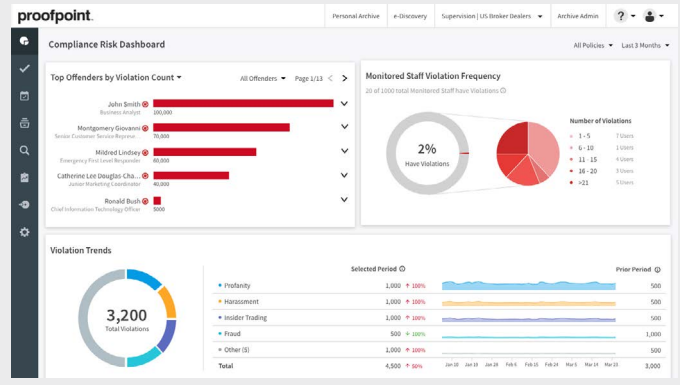
- Ignore pre-approved content and waste less time reviewing false positives using advanced violation detection.
- Minimize low-risk content, including bulk mail, with intelligent sampling by message type.
- Decide whether to review without having to read the entire message body, with violation previews.
- Target, refine and prioritize the review queue, with advanced message filters.
- Group and review related messages in a single step, with conversation threading.

### Modernize Supervision

Intelligent Supervision is flexible so you can optimize your supervision strategy as your needs evolve. It also frees you from processes built around outdated technology.



Intelligent Supervision violation preview



Compliance Risk Dashboard with Intelligent Supervision

**With Intelligent Supervision, you can:**

- Help maintain privacy and security, with customized workflows by line of business. This feature enables isolated administration, access and reporting.
- Provide greater scrutiny by employee or violation type, with multitier escalation.
- Experience top performance in even the largest and most complex firms, for enterprise-grade scalability.

**Achieve Complete Visibility**

You can speed regulatory response times by gaining full visibility into the supervision process. Intelligent supervision identifies bottlenecks, improves collaboration and boosts productivity. This ultimately reduces compliance risks.

Actionable intelligence is delivered with visual reporting tools for all archived content. You can:

- Quickly identify the highest compliance risks and violation trends, with the Compliance Risk Dashboard.
- Track the progress of review to identify review teams that are falling behind, with real-time monitoring.
- Ensure that all reviewers are completing their assigned review work on time, with productivity reporting.
- Alert reviewers and compliance teams when queues grow beyond set thresholds, with real-time alerts.

**Establish Complete Audit-Readiness**

With Intelligent Supervision, you can respond to regulatory audit requests at a moment's notice.

- All review activities are fully audited. You can easily export the full history of review activities and comments in the industry-standard PST email file format.
- Policy tracking allows you to demonstrate the history of rules, supervised employees and reviewers at any point in time.
- Evidence of Review reports prove you are in compliance with your stated policy.

**Integrate With Proofpoint Enterprise Archive**

By integrating supervision and archiving tools, your management overhead and costs are reduced. Proofpoint Intelligent Supervision is fully integrated with Proofpoint Enterprise Archive for easy capture, review and reporting. Enterprise Archive allows financial organizations to govern and discover a wide range of data to address all requirements outlined by SEC 17a3-4.

Proofpoint provides FINRA-, SEC- and IIROC-regulated firms with unmatched visibility and improved productivity. This streamlines regulatory compliance and reduces overall risk.

**LEARN MORE**

For more information, visit [proofpoint.com](http://proofpoint.com).

**ABOUT PROOFPOINT**

Proofpoint, Inc. (NASDAQ: PFPT) is a leading cybersecurity company that protects organizations' greatest assets and biggest risks: their people. With an integrated suite of cloud-based solutions, Proofpoint helps companies around the world stop targeted threats, safeguard their data, and make their users more resilient against cyber attacks. Leading organizations of all sizes, including more than half of the Fortune 1000, rely on Proofpoint for people-centric security and compliance solutions that mitigate their most critical risks across email, the cloud, social media, and the web. More information is available at [www.proofpoint.com](http://www.proofpoint.com).

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