Proofpoint Intelligent Supervision

Enabling AI-Powered Monitoring and Compliance for Highly Regulated Organisations

Key benefits

- Collect and verify compliance violations faster and more accurately with smarter reviews
- Simplify monitoring with enhanced visibility
- Improve productivity and collaboration by highlighting major compliance risks and violation trends
- Enable comprehensive coverage with broad, native support for a wide array of digital communications
- Prove compliance with Evidence of Supervision reports
- Reduce false positives significantly and easily pinpoint risk by using machine learning with Proofpoint NexusAI for Compliance

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

Proofpoint Intelligent Supervision

Intelligent Supervision is a cloud-based supervisory platform. It is 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. All incoming, outgoing and internal correspondence is captured. This advanced platform helps you comply with regulatory supervision requirements. And it is far more efficient than legacy supervision systems and 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.
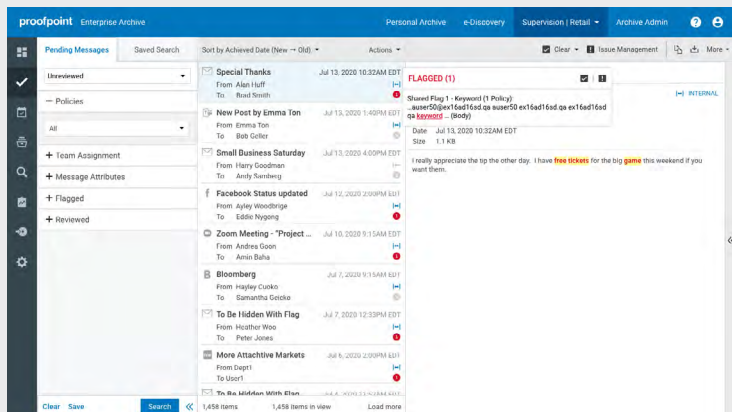
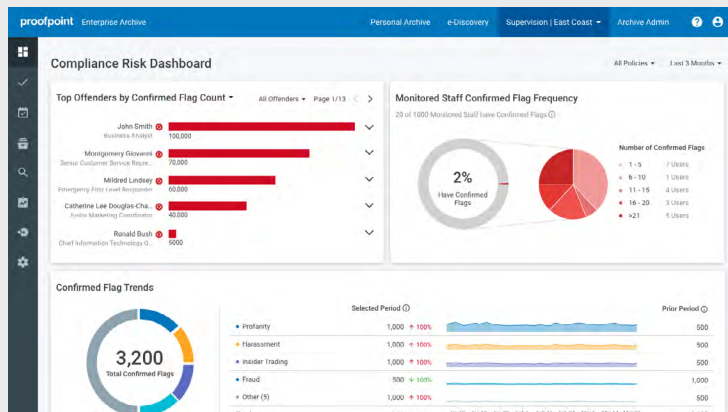Figure 1: Intelligent Supervision violation preview

Figure 2: Compliance Risk Dashboard with Intelligent Supervision

With Intelligent Supervision, you can:

- Ignore pre-approved content and waste less time reviewing false positives using advanced violation detection.
- Use Review Sets to uncover conversational context, facilitating event reconstruction (for example, creating queues based on trades or events) from digital communications for deeper insight.
- Minimise 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 prioritise the review queue, with advanced message filters.
- Group and review related messages in a single step, with conversation threading.

Modernise supervision

Intelligent Supervision is flexible so you can optimise your supervision strategy as your needs evolve. Also, it frees you from processes built around outdated technology.

With Intelligent Supervision, you can:

- Maintain privacy and security with customised 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.
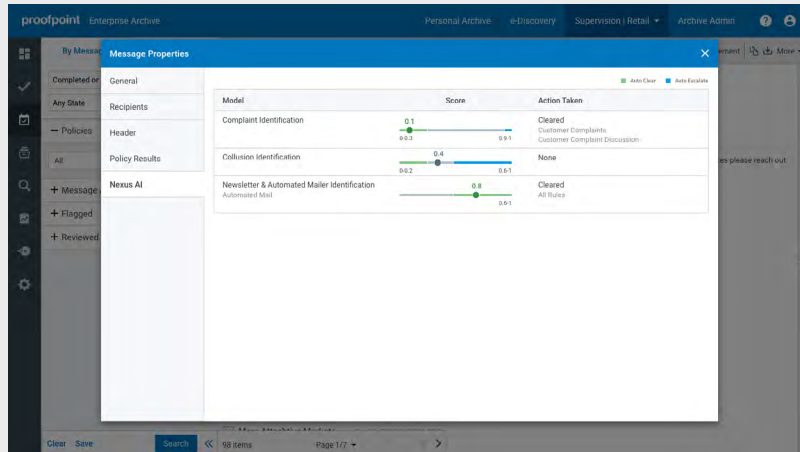
Figure 3: NexusAI for Compliance add-on for Intelligent Supervision

Add NexusAI for Compliance for a smarter review experience

An add-on for Intelligent Supervision, NexusAI for Compliance lets you use machine learning to significantly reduce low-value supervision content. This allows customers to focus on more meaningful content.

Here's how NexusAI for Compliance helps:

- Adaptive Targeted Culling helps eliminate false positives, which can help reduce reviewer fatigue and ultimately human errors that can come from fatigue.
- Cost-effective for broad deployment across all monitored users.
- Innovative technology platform to leverage visibility and insights at scale.
- Flexible ecosystem enables customers to use out-of-box models, create their own or engage Proofpoint Professional Services to build, vet, train and activate custom models.

Integrate with Proofpoint Enterprise Archive

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

Proofpoint provides highly regulated firms with unmatched visibility and improved productivity. This streamlines regulatory compliance and reduces overall risk.

LEARN MORE

For more information, visit **www.proofpoint.com/uk/products/archiving-and-compliance/intelligent-supervision**.

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