

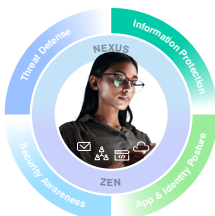
Proofpoint Supervision

Enable AI-powered monitoring and compliance for highly regulated organizations

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 pinpoint risk easily by using machine learning with Proofpoint Automate

This solution set is part of Proofpoint's integrated human-centric security platform, mitigating the four key areas of people-based risks.



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

Proofpoint Supervision

As part of the Proofpoint Digital Communications Governance family of products, Proofpoint Supervision is a cloud-based supervisory platform. It is ideal for even the largest and most complex financial services firms. Integrated with Proofpoint 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

Proofpoint 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 Proofpoint 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.

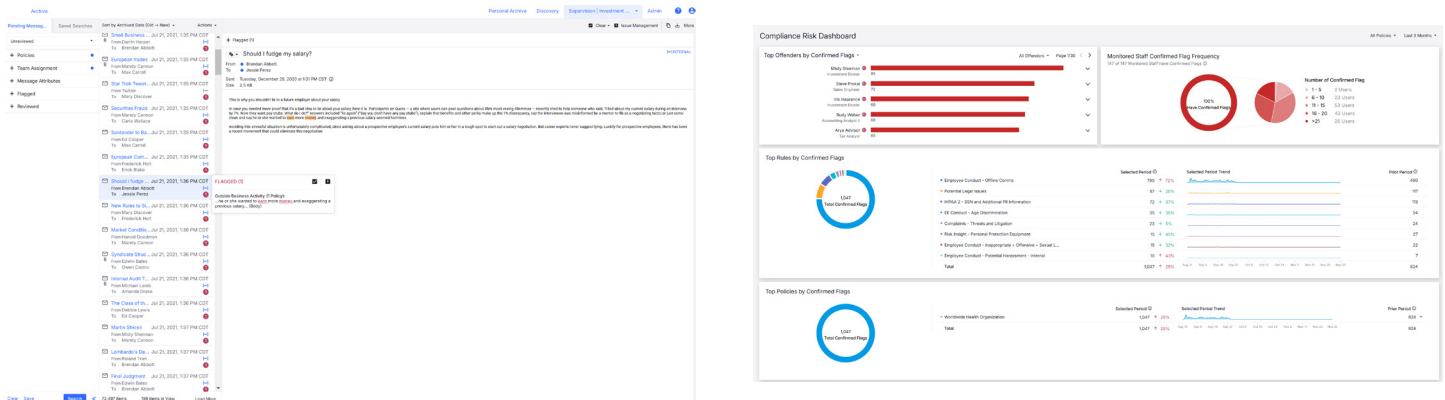


Figure 1: Proofpoint Supervision violation preview (left) and Compliance Risk Dashboard with Proofpoint Supervision (right).

- 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

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 Also, it frees you from processes built around outdated technology.

With Proofpoint Supervision, you can:

- 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. Proofpoint 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.
- Associate confirmed flags with specific monitored staff for more accurate reporting.

Establish complete audit readiness

With Proofpoint 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.

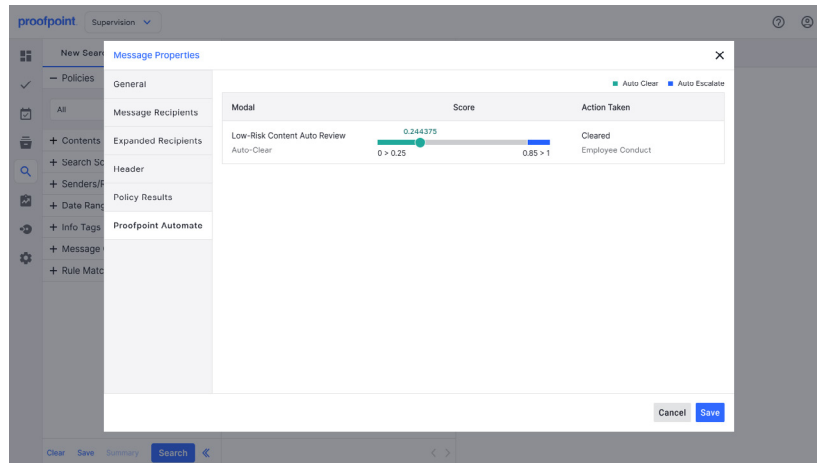


Figure 2: Proofpoint Automate, an add-on for Proofpoint Supervision.

Proofpoint Automate for a smarter review experience

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

Here's how it helps:

- Adaptive Targeted Culling helps eliminate false positives, which can help reduce reviewer fatigue and ultimately human errors that can come from fatigue.
- Flag Deduplication helps reduce the amount of content for review by avoiding original content that has already been flagged in replies and forwards.
- 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 Archive

Integrating supervision and archiving tools reduces your management overhead and costs. Proofpoint Supervision is fully integrated with Proofpoint Archive for easy capture, review and reporting. Proofpoint Archive allows financial organizations 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 at proofpoint.com

Proofpoint, Inc. is a leading cybersecurity and compliance 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 85 percent of the Fortune 100, 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.

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