

ENTERPRISE-LEADING DIGITAL COMPLIANCE AND ARCHIVE FOR FINANCIAL SERVICES

KEY BENEFITS

- Best-of-breed, all-in-one compliance and archive solution
- Simplify regulatory compliance for electronic communications and social channels
- Get demonstrable proof of financial services best practices policy and enforcement
- Quickly and easily capture, retain and archive business communications

Financial institutions—especially FINRA- and SEC-regulated organizations—must ensure secure and compliant use of electronic communications, including social channels. Plus, they must supervise and archive business records and make them discoverable. And they want to do this in the most efficient manner using leading technology that addresses today's challenges.

At Proofpoint, our purpose-built platform keeps top financial services brands compliant and archive-ready in one place. Our solution simplifies and streamlines the most complex business digital compliance and archiving integrations with ease.

PROOFPOINT DIGITAL COMPLIANCE AND ARCHIVE

Proofpoint Digital Compliance and Archive helps financial services firms mitigate reputational risk and stay compliant. We simplify compliance and e-discovery with automated, policy-based content moderation and retention; compliant capture, storage and access; streamlined workflow; and uncompromised protection.



Proofpoint helps you comply with complex financial services industry rules and protects your company's sensitive data through a complete solution that safeguards the digital channels you rely on: email, SaaS and social media. No other company gives you as much visibility and control over the compliance risks that matter most.

POLICY

FINRA and SEC require that you adopt policies and procedures to ensure those who participate in electronic communications, including social channels, are appropriately supervised.

Proofpoint delivers an end-to-end compliance platform that enables digital communications best practices and customer success. Our financial services policy templates help you adopt compliance best practices that are ready for immediate enforcement. And the solution's real-time monitoring ensures policies are followed. This allows you to quickly identify those who require additional training.

SUPERVISION

Proofpoint helps you meet supervision rules by providing complete visibility across email, instant messages, collaboration tools and social media. With real-time dashboards, alerts and reporting, you can identify and resolve potentially damaging compliance violations quickly and accurately. Stay compliant and respond to audit requests at a moment's notice.

Proofpoint provides real-time supervision of static profiles and dynamic social media posts. You can automate actions to remediate the content at unlimited scale—it works 24/7/365 without the cost of a team of moderators.

CONTENT

Proofpoint provides a streamlined approval workflow for stakeholders to pre-approve static content, including profiles and ads. Our solution delivers notifications about content and compliance infractions and delivers immediate remediation of problematic content.

And we make it easy to provide fresh, compliant content for your social selling programs. Our solution provides a library of highly targeted content—both generated by internal staff and third-party sources.

RECORDKEEPING AND ARCHIVE

We help you capture, retain and archive business communications in compliance with Books and Records Rules across email, enterprise collaboration and social media. You can easily create and enforce policy-driven retention across all content.

Proofpoint helps you maintain flexibility to easily adapt as your business grows and regulatory requirements evolve. And with better visibility and insight into your records, you'll have the tools you need to make better decisions and stay audit-ready.

E-DISCOVERY AND ANALYTICS

Proofpoint simplifies e-discovery by helping you collect, discover and preserve all types of information. With our advanced analytics, you can manage the legal costs and risks of email, enterprise collaboration and social media communications. Automate legal holds, enable early case assessment (ECA) and streamline legal reviews without burdening IT departments.

Proofpoint's e-discovery and analytics capabilities provide greater insight for your litigation readiness strategy. That means more control with less cost and risk.

LEARN MORE

To learn more about Proofpoint Digital Compliance and Archive visit proofpoint.com.

“PROOFPOINT MAKES OUR LIVES EASIER AND MORE SECURE. THE AUTOMATION AND ARTIFICIAL INTELLIGENCE THAT LIVE BEHIND THE WORKFLOWS GIVE OUR COMPLIANCE TEAM AN ELEVATED LEVEL OF CONFIDENCE THAT WE CAN DELIVER ON OUR SOCIAL MEDIA POLICY AND PROVIDE A BETTER SOCIAL EXPERIENCE FOR OUR ADVISORS.”

– Beth Wood, Vice President,
Chief Marketing Officer,
Individual Markets
The Guardian Life Insurance
Company of America

ABOUT PROOFPOINT

Proofpoint, Inc. (NASDAQ:PFPT), a next-generation cybersecurity company, enables organizations to protect the way their people work today from advanced threats and compliance risks. Proofpoint helps cybersecurity professionals protect their users from the advanced attacks that target them (via email, mobile apps, and social media), protect the critical information people create, and equip their teams with the right intelligence and tools to respond quickly when things go wrong. Leading organizations of all sizes, including over 50 percent of the Fortune 100, rely on Proofpoint solutions, which are built for today's mobile and social-enabled IT environments and leverage both the power of the cloud and a big-data-driven analytics platform to combat modern advanced threats.

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