

THE NEED FOR NEXT-GENERATION SUPERVISION

Compliance supervision capabilities are feature-rich and on a par with industry leaders. - Gartner

HOW INTELLIGENT SUPERVISION SOLVES THESE PROBLEMS



FINRA, SEC and IIROC regulations require formal retention and supervision programs



All types of correspondence need to be captured and supervised



\$15M fined to leading financial services organization for "failing to adequately supervise communications"



Financial services firms face regulatory audits every six months in order to prove that they supervised their broker/dealers



Review teams spend too much time searching for violations

Sources: Financial Industry Regulatory Authority

Efficient Review

features create less noise and save time when the clock is ticking

Flexible Workflows

let you customize your supervision strategy

Rich, Visual Reporting

provides complete visibility into the review process

Complete Audit-Readiness

is in your control

Integrated Archive + Supervision

provides comprehensive capture, review and reporting to enable complete compliance



Financial services firms can supervise, review and report on all correspondence, including email, Bloomberg, IM and social data, making response to regulatory audits and investigations simple and straightforward. **For more information, visit www.proofpoint.com/supervision**

proofpoint[™]