

# How Proofpoint Compliance Gateway Helps You Stay Compliant

Track, reconcile and manage communications content to get a complete audit trail for compliance-assurance requirements

## Key Benefits

- Increase visibility into the delivery status of captured content from source channels including email, collaboration apps, SMS and social media
- Verify that captured communications and messages received are compared and reconciled against an upstream manifest from each source channel
- Verify that captured communications and messages are received by downstream services such as an archive, supervision or e-discovery or third-party store
- Normalize information flow to identify downstream ingestion failures and automatically resubmit unreconciled content
- Simplify audits with reporting that proves adherence to compliance regulations and legal rules of evidence
- Centrally control and filter which content goes to each archive, supervision or e-discovery or third-party store

Proofpoint Compliance Gateway helps you stay compliant even in the face of the most stringent regulatory requirements. It serves as a centralized hub that filters communications content and routes it to multiple downstream destinations. Compliance Gateway gives you complete control of and visibility into your capture stream. And it lets you collect, retain and preserve all of your communication and collaboration content.

Capturing and storing business communications for compliance is challenging. This is true even when you take the most thoughtful approach. Highly regulated firms must retain their communications end to end. And they must be able to prove to regulators that their data stores receive all of the content they are tasked to capture. Moreover, litigation requests sometimes require you to produce authenticity of communications based on evidentiary rules. They may also require

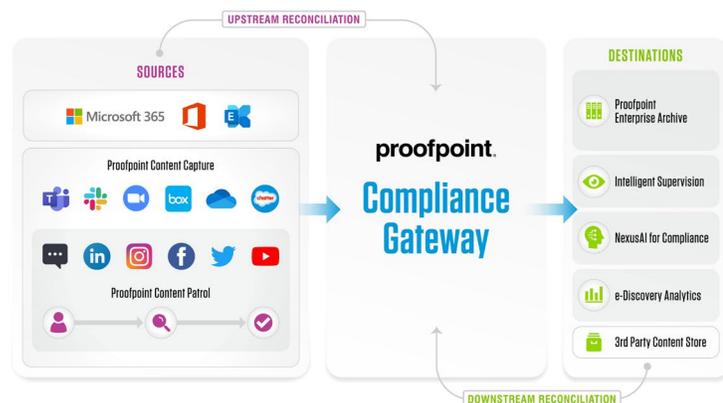


Figure 1: Compliance Gateway information flow.

you to maintain audit trails and corroborate legal chain of custody. Meeting these requirements is only getting more difficult by the day. This is especially true in the enterprise. Large organizations, for instance, can have multiple communication channels for thousands of employees. They often use more than one collaboration app. Many are also seeing rapid growth in social media in the workplace. And an increasing number of their workers now use their personal devices to access corporate networks and resources.

In such complex environments, gaps can emerge in the capture stream. They can appear anywhere from the upstream source to the downstream destination. And a single disruption or change in any of the content sources can lead

to problems. Files can get lost in transport, for example. Or you might not be able to audit exactly the content that came from the source. Moreover, many solutions can't guarantee that what you have in your data store represents every record from the source. You may face fines and other penalties if you can't remediate these issues.

Proofpoint Compliance Gateway can help. It is ideal for enterprises that must respond to anything from standard regulatory requests in the financial services space to subpoenas and requests for evidence in litigation. It makes sure that all of your emails and social media posts are captured and delivered to relevant archives or third-party stores downstream. These stores can target region- or

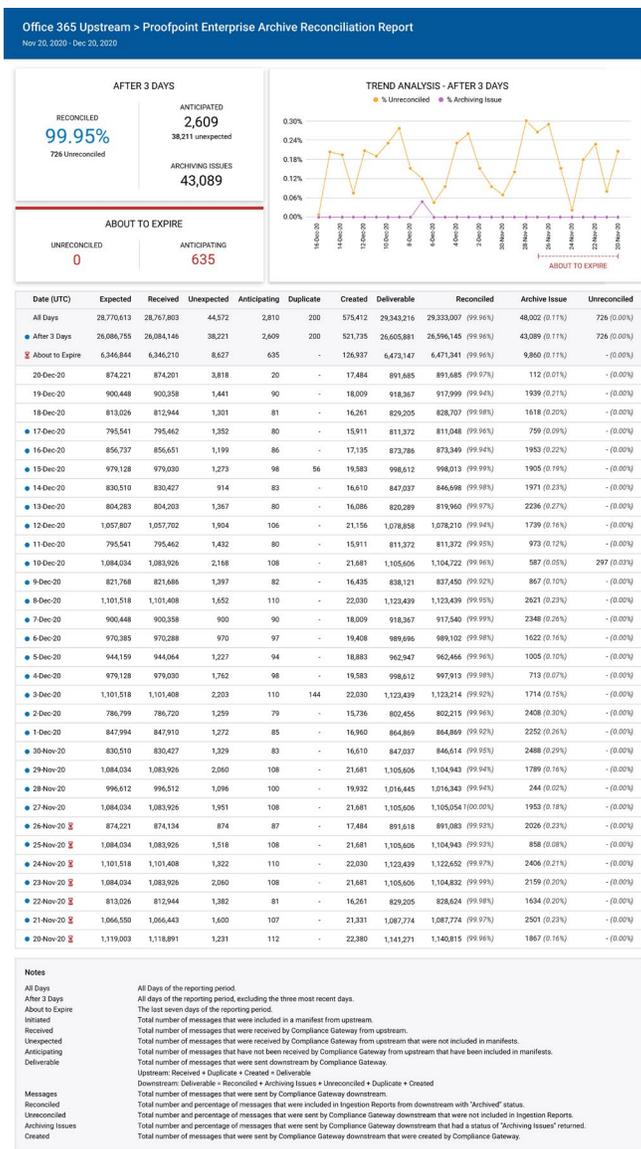


Figure 2: Sample reconciliation report for Microsoft 365.

business-unit-specific repositories. Compliance Gateway reconciles captured content against a manifest from the source and automatically resubmits missing content or content downstream that can't be reconciled. This way it ensures that what you have in your archive is every record that you sent to it.

## Meet Financial Services Regulatory Requests

Proofpoint Compliance Gateway is ideal even for the strictest regulatory-based organizations. A broker-dealer firm, for example, would find it invaluable leading up to mergers and acquisitions (M&A) events. A vice president of such a firm may receive a regulatory request for a series of communications just prior to an M&A event. Such a request would be for internal and external emails, SMS text messages and video-conferencing chats with customers. It might also require an audit trail. And this trail should corroborate to a specific set of registered users and client representatives. The messages would have to fall within a specific premerger date range. And every communication between the broker and the acquisition firm's CEO should also be accounted for.

Proofpoint Compliance Gateway can provide you with a detailed report including audit log of every communication that it has sent downstream to an archive or third party. This way it can guarantee an accurate audit trail for regulatory compliance or litigation-based investigations. Compliance Gateway can also corroborate an accurate count and manifest of every communication sent by all source systems.

## Quickly Respond to Subpoenas and Requests for Evidence

A chief legal officer would also find Proofpoint Compliance Gateway compelling. Say this officer, who works at a privately held, mid-size company, receives a subpoena from a partner company. The partner's counsel has alleged a contract breach by the officer's company. The partner claims that the legal officer's company had inappropriate communication with the partner's competitor. The subpoena is for a series of emails, social media posts and direct messages. It requires a communications trail that corroborates to a specific set of custodians or keywords. And all messages must be accurately logged during early case assessment.

Proofpoint Compliance Gateway can generate reconciliation reports that adhere to compliance regulations and legal rules of evidence. It features a fail-safe process that ensures all data gets to the supported downstream archives, supervision or e-discovery platforms. And every message or social media post that fits any requested criteria will be included in the report to the requestor. Transport details, audit logs and unique identifiers are captured in a reconciliation report. In this way, Compliance Gateway can help both corroborate and simplify the tasks of even the most detailed audit and reporting requests.

### LEARN MORE

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