

Proofpoint Supervision

AI-Powered Supervision for Modern Communications



Key Highlights

1. Detect and verify compliance violations faster and more accurately with smarter reviews
2. Simplify monitoring with enhanced visibility into queues, reviewer activity, and risks
3. Expand coverage across today's digital communications channels
4. Demonstrate compliance with Evidence of Review reports and complete audit trails
5. Use AI-based review workflows to fit any use case, risk tolerance, and budget
6. Reduce false positives by up to 98% with Proofpoint Automate (an optional add on to Supervision) compared with lexicon-only systems

Financial services firms and other highly regulated organizations need supervision workflows that can identify risk across modern communications, reduce reviewer burden, and produce defensible outputs for audits and examinations by agencies like the Security Exchange Commission and the Financial Industry Regulatory Authority.

A Smarter Approach to Communications Supervision

Proofpoint Supervision helps the world's largest and most regulated firms monitor and review digital communications risk and compliance. Integrated with Proofpoint Archive, it delivers AI-powered review workflows, visual reporting, and audit-ready oversight to help organizations build, maintain, refine, and execute modern supervision programs.

- Monitor digital communications for corporate and regulatory compliance.
- Use advanced filtering, sampling, detection, and review workflows to reduce noise and improve reviewer efficiency.
- Surface major compliance risks and violation trends over time with dashboards and drilldowns.
- Support enterprise-scale review operations across modern communications.
- Extend supervision with optional AI-based automation to clear lower-risk content and escalate higher-risk items.
- Provide AI and electronic communications review capabilities trusted by some of the world's largest asset managers and broker dealers.

Smarter Review Workflows

Proofpoint Supervision helps compliance teams focus on the communications that matter most by reducing low-value noise, surfacing relevant context faster, and streamlining the review of related content. The result is that teams can identify potential compliance risks more quickly, consistently, and efficiently.

- Reduce false positives by ignoring pre-approved content with advanced detection.
- Manage exception-based reviews with Review Sets that let teams manually group and review content outside the standard review workflow.
- Minimize low-risk content with intelligent sampling by message type, including bulk mail.
- Assess potential violations faster with violation previews that help reviewers decide whether full message review is needed.
- Group and review related messages in a single step with conversation threading.

Proofpoint Automate — AI to Target the Risk That Matters

Proofpoint Automate is an add-on for Proofpoint Supervision that uses advanced machine learning (ML) and Large Language Models (LLMs) to reduce review workload, prioritize higher-risk communications, and streamline supervision review. With natural language risk detection criteria and out-of-the-box detection models, teams can apply AI-assisted workflows that match their supervision goals, risk tolerance, and review strategy.

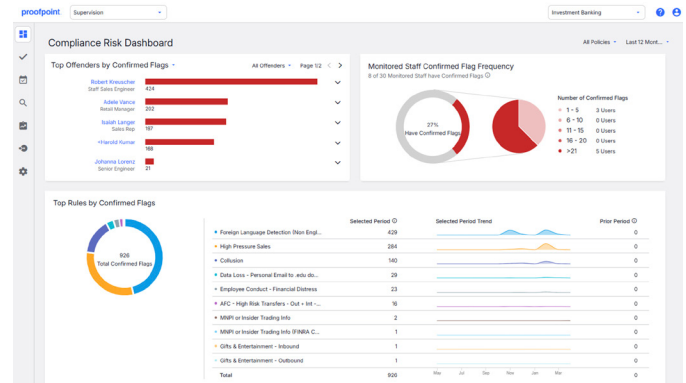
- Reduce reviewer workload by automatically clearing lower-risk items and escalating higher-risk content for review.
- Create risk detection scenarios faster using plain-English, natural language instructions.

- Accelerate deployment with out-of-the-box detection models covering 200+ risks, from market abuse to employee misconduct.
- Reduce false positives by up to 98% compared with lexicon-only systems.

Visibility and Audit Readiness

Proofpoint Supervision gives compliance teams clear visibility into supervision activity, risk trends, and reviewer progress while preserving the records needed to demonstrate compliance over time. These capabilities help organizations monitor performance, respond more confidently to regulatory requests, and support defensible reporting with complete audit trails.

- Identify compliance risks and violation trends with the Compliance Risk Dashboard.
- Monitor review progress and reviewer productivity with real-time dashboards and alerts.
- Improve reporting accuracy by associating confirmed flags with specific monitored staff.
- Respond to regulatory requests faster by exporting the full history of review actions.
- Demonstrate compliance over time with policy tracking and Evidence of Review reports.



Proofpoint Supervision Compliance Risk Dashboard view

Learn More

For more information, visit [proofpoint.com](https://www.proofpoint.com)

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