

FORCEPOINT UEBA

Regulatory Surveillance

MEET YOUR COMPLIANCE OBLIGATIONS MORE EFFECTIVELY AND WITH FEWER RESOURCES

Join the revolution of industry-leading banks, hedge funds, and asset managers using [Forcepoint User and Entity Behavior Analytics \(UEBA\)](#) to more precisely identify employees engaged in bad behavior—whether illegal, non-compliant, or posing a reputational risk—and speed both initial review and deeper investigation. Forcepoint UEBA creates the most targeted set of employees and events for review, and then gives compliance teams the most intuitive and context-rich interface from which to triage, escalate, and resolve alerts as necessary.

WHY FORCEPOINT UEBA

- ▶ Identify employees that are putting the organization at risk
- ▶ Reduce the cost of surveillance
- ▶ Respond quickly to regulators

PLATFORM PILLARS

Forcepoint UEBA provides insight into high-risk behaviors and individuals, not just high-risk events. By evaluating nuanced interactions between people, data, devices and applications over time, Forcepoint UEBA prioritizes timelines for compliance teams. Our software is built upon four technical pillars:

Full Context ▶ Fuses disparate data sources into one platform, including communications content, trade activity and alerts from existing trade monitoring systems, and employee enrichment feeds.

Sophisticated Analytics ▶ Applies multiple types of rigorous behavior and content-based analytics focused on change, pattern, and anomaly detection.

Search and Discovery ▶ Exposes powerful forensic search and discovery tools through a context-rich user interface for ongoing monitoring and deep-dive investigations.

Key Use Cases

- ▶ Insider Trading
- ▶ Wall Crossing
- ▶ Conduct Risk
- ▶ Material Non-Public
- ▶ Information Abuse
- ▶ Front Running
- ▶ Audit Inquiry and Response

Intuitive Workflow ▶ Delivers proactive reporting that fully integrates with human workflow and existing client information architecture.

HOW FORCEPOINT UEBA IS RESHAPING THE COST OF SURVEILLANCE

Optimize Workflow ▶ Forcepoint UEBA is radically reshaping organizational workflow in two big ways. First, organizations are able to adopt a more strategic supervisory structure that efficiently distributes work across front office supervisors, compliance teams, and audit functions. Second, the capability to see all relevant data in one place—without waiting multiple days for it to be retrieved from various silos by IT personnel—significantly increases day-to-day monitoring and in-depth investigations.

Replace Costly, Ineffective Technology ▶ Forcepoint UEBA's modern “big data” architecture is highly scalable to cover more employees, data, and use cases than legacy technology. In addition, the capability to support sophisticated analytics, house all relevant data, and provide real-time search results across the platform is foundational to unlocking analyst efficiency.



Enterprise Capabilities

- ▶ **Roles-Based Dashboards and Workflows** Enable rapid review of non-compliant activity through an intuitive user interface so analysts and managers can quickly investigate, review, escalate, and take action.
- ▶ **Robust Data Entitlements** Fully support complex data entitlements required by both internal controls and externally driven data privacy concerns.
- ▶ **Platform Flexibility** Configurable and out-of-the-box analytics, dashboards and workflow adapt to any risk use case and bring advanced data science models to you without a heavy professional services commitment.
- ▶ **Flexible Deployment Options** Readily deploy Forcepoint UEBA on-premise, in a virtual private cloud, or even using a Forcepoint UEBA appliance.

Advanced Analytics

- ▶ **Behavioral Analytics** Identify changes in behavior that may indicate current or potential illegal, unwanted, or non-compliant activity by employees.
- ▶ **Feature Tagging and Modeling** Prioritize events of interest based on the analysis of both content and metadata patterns found in specific events using domain expertise and advanced probabilistic models.
- ▶ **Natural Language Processing (NLP)** Material reduction in false positives through a smart, practical application of NLP supporting complex lexicons, including text identification technology that recognizes and zones out disclaimers and quoted text from earlier emails in a chain.
- ▶ **Visualizations** Tailored visualizations specifically developed to unlock an analyst's own inference capabilities and deliver maximum context around relevant activities. Quickly understand the who, what, when, and how of employee actions.
- ▶ **Content Classification** Dramatically reduce the number of eComms for review by leveraging Forcepoint UEBA's classification engine to identify and filter out non-relevant communications like bulk mail, sell-side research, 3rd party mailers and more.

