Theta Lake Risk and Compliance Suite

Theta Lake enables compliance and security teams to scale risk detection and supervision capabilities for modern collaboration platforms across video, voice, and chat content. Our SOC 2, Type 2-audited platform allows firms to avoid costly regulatory and litigation fines, mitigate data breaches, and facilitate the review of collaboration and video data at more than three times the speed of manual review.

Key Features

Integrates with Collaboration and Video Applications

Through direct, authorized, API-based integrations, Theta Lake ingests video, audio, and text content from collaboration applications like Zoom, RingCentral, LogMeIn, Cisco Webex, and Microsoft Teams, as well as video content management systems like Kaltura, Vimeo, YouTube, and Vbrick. Users can also upload content directly from shared directories or individual files.

Following ingestion, Theta Lake analyzes all of the dynamic content from collaboration and video platforms, including:

• Images, documents, and anything displayed during screen shares

• Visual content displayed through a webcam

• Audio from collaboration conversations or videos

• Group and one-to-one chats

• Files sent or received through a chat, screenshare, or file transfer

• Information shared through native whiteboarding functionality

Uses Machine Learning to Analyze Dynamic Content

Theta Lake uses machine learning and natural language processing to drive 50+ built-in detections, which identify regulatory, privacy, conduct, and security risks in what was said, shown, and shared.
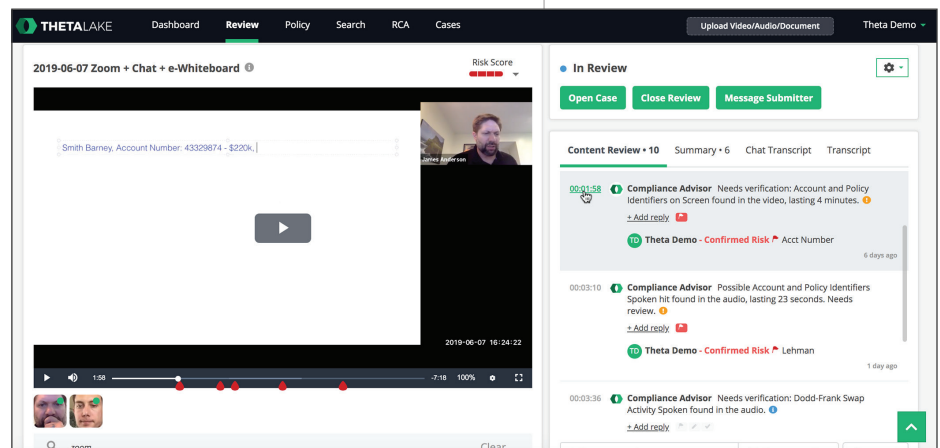
Detection policies include:

• SEC Reg BI Form CRS

• FINRA, FCA false or misleading statements

• Profanity and acceptable use

• Social security and account numbers

• Inappropriate logos or images

• Plus, custom detections can be created for internal projects, unique identifiers, conceptual topics, and more
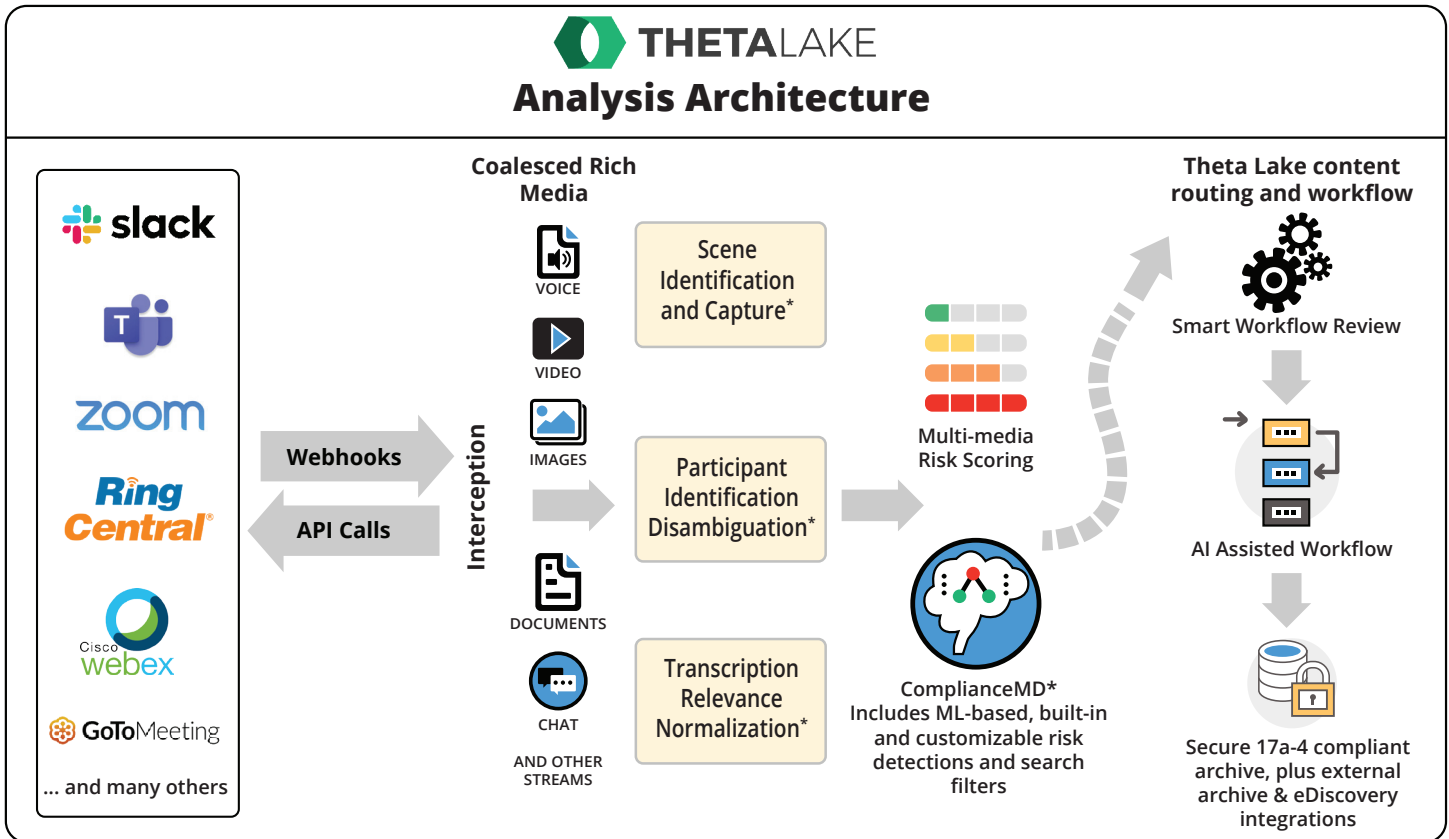
Detections apply advanced OCR, image classification, and facial recognition technologies to identify potential risks in text, logos, and objects in video content. Text is parsed and enriched using our TranscriptionRN® process, which adds contextual meaning and improves detection quality.

Key Benefits

• **Easily manage risk and compliance for collaboration platform and chat content**

• **Scale risk detection and supervision with an automated, consistent, and effective process**

• **Avoid costly regulatory and litigation fines**

Streamlined review workflow

THETALAKE
Analysis Architecture

Allows Security and Compliance Teams to Efficiently Review Risks

Theta Lake surfaces detections of potential risks in an AI-enabled workflow that learns from your review teams' actions. Within the review, each risk detection is clearly pinpointed on the video or audio timeline, allowing your team to engage directly with potential issues, take action, and move on. Smart workflows also allow content to be routed to across your risk and compliance teams based on geography, business unit, or source system.

Provides Comprehensive Archive, Search, and eDiscovery

A review audit trail details each action taken on a piece of content to ensure compliance with regulatory supervision mandates and preserve historical context in the event of future examination or litigation.

Content can be archived in Theta Lake's SEC 17a-4 compliant storage where retention times can be set based on your requirements. Theta Lake facilitates complete searches of active and archived data and the ability to create saved searches for individuals and groups.

Data including raw files, analysis reports, transcripts, and more can also be exported to any third party storage, archiving, and eDiscovery application.

Learn More

For more information, visit: https://thetalake.com/compliance-and-archiving/

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