

Selective Electronic Communications Archive: Choose what to archive and where to archive it

The regulatory compliance challenges

The need to capture, retain and supervise electronic written communications, or 'eComms', is a fundamental requirement for financial services institutions (FSIs) worldwide. Not only is it mandated by regulatory obligations such as SEC 17a-4, MiFID II, FINRA Rule 3110, FCA's SYSC, and IIROC's correspondence rules, it's critical for responding to complaints, audits, or investigations.

But the widespread adoption of modern collaboration platforms like Microsoft Teams, Zoom, Webex, Slack and more across the industry, has led to concerns about meeting these obligations.

- With controls and tools built for email, firms face a significant challenge in capturing, retaining, and supervising the dynamic media-rich features of modern communications.
- It's even more complex for over 90% of FSIs that have deployed multiple collaboration tools.

No need to turn off features, such as in-meeting chat

While communication modes have changed, the requirements still apply, meaning any written communications taking place within collaboration calls and video meetings fall within the remit of electronic communications rules. That includes in-meeting chat, polling and whiteboarding.

- With a 70% increase in video usage, there's the added challenge of capturing vast volumes of video and audio records where there's not a specific regulatory or business requirement.
- In practice, it's overcome by disabling productive communication features.

"Industry research shows that 83% of FSIs roll out tools like Zoom, Webex and Microsoft Teams to employees with capabilities disabled which diminishes the end user experiences and impacts productivity."

— based on 2021 Modern Communications Survey Report

Industry research revealed that 83% of firms turn off functionality to reduce the risk of non-compliance with regulatory obligations. That's more than four out of five firms with risk management constraints that aren't able to make

full use of their investments in modern communications tools like Zoom, Webex or Microsoft Teams. Nor meet demands of users to access business-enabling features within those platforms.

Gain Valuable Benefits

Enable and archive what you want

Archive and supervise in-meeting chat without having to archive or record voice or video.

Choose your archive

Archive in Theta Lake's SEC 17a-4 compliant storage or your existing (and multiple) archives.

Quick, easy, and transparent deployment

API integration deployment doesn't require network or device changes and is transparent to end users.

Archive and analyze in-meeting chat, with or without video or audio. Your choice.

Theta Lake is purpose-built for modern communication tools and enables organizations to meet retention and supervisory obligations. Our selective eComms archiving capabilities make it simple for financial services institutions to choose the meeting components they want to archive and supervise.

- They can select traditional 'electronic communication' content such as private and group chat, polling and whiteboarding, without needing to record and store the audio or video components of related meetings or webinars.
- Equally firms have the option to customize their archiving and supervision to include full meeting content with retention and analysis of video, chat, and audio, when needed.
- This future-ready option ensures they're prepared for the growing regulatory scope and scrutiny of communications. As one example is [FINRA's](#) recent response to a question about supervising the use of 'visual aids, such as a whiteboard or dynamic charts, or a chat or instant messaging feature during a live, unscripted online conference'.

Either way, set up is quick and easy with content choices connected with a few simple clicks.

Use and search existing archives, or ours. Your choice.

Firms also have the choice where to archive the selected content. Theta Lake has built-in integrations for all industry-standard archiving platforms so existing, and multiple, archive and ediscovery systems can be utilized without any disruption to existing tools or processes. Or it can be archived in Theta Lake's SEC 17a-4 compliant storage where retention times can be set based on your requirements. Either way, it makes searching across all existing processes and tools easy - seamlessly fitting into your compliance environment.

"This new selective electronic communications archiving allows us to expand usage of Zoom with compliance coverage for additional users that we don't need to fully record. In addition to the criticality of compliant archiving, we really save hundreds and hundreds of person hours using the review system and workspace itself."

—Todd Logan, Vice President of Workplace Technology, Advisor Group

getting started is quick and easy, and can be implemented by the administrator across the entire organization or specific groups of users. The eComms Archive is just one of several archiving and supervision integration modules covering video, voice, chat, and ecomms.

"visual aids may be correspondence, retail communications or institutional communications, and the firm must supervise them as such"

— FINRA FAQs, September 2021

Tell me more

The eComms Archive module is part of Theta Lake's Security and Compliance Suite, which also gives customers the option to benefit from deep AI-assisted analysis and review of eComms to detect and surface risks across any content shared, shown, spoken, or typed. Theta Lake's risk detection provides the most comprehensive coverage across chat in voice and video meetings, webinar chat, standalone chat, polling and whiteboards. Risks identified are stored as part of the record in your chosen archive.

Streamlined integration

Through our direct API integrations with Zoom, Webex, Microsoft Teams and more,

Theta Lake's Integration modules include:

1. Zoom/Webex/MS Teams meetings Archiving and Supervision, and MS Teams Recording - providing archiving and the industry's only full analysis and supervision for all video, voice, and chat content
2. Zoom/Webex eComms Archive - providing selective and differential archiving and supervision options for FSIs across any content type or mode.
3. Zoom/Webex/MS Teams Chat Supervision and Archiving - providing fully native capture, supervision, archiving, and third-party integration for chat.
4. RCA for Zoom/Webex/MS Teams meetings - providing real time compliance coaching and resources for employees in live meetings
5. Zoom Phone and MS Teams Voice Supervision & Archiving - providing archiving, AI-assisted supervision, and third-party archive integration.

Learn more

To request a demo, visit: <https://thetalake.com/request-a-demo/>

ABOUT THETA LAKE. Theta Lake, Inc., dual winner of UC Today's 2020 Best Compliance Product and Best Security Product, was founded in 2017 by proven entrepreneurs and enterprise technologists with decades of leadership experience and recognition from Global 100 customers and top industry analysts. With a mission to provide modern collaboration security and compliance, Theta Lake's patented and multi-patent pending AI helps security and compliance teams more effectively and quickly scale their risk detection and the workflows for communication security, data loss protection, and supervision of modern video, voice, and unified collaboration systems. The Theta Lake Compliance Suite is SOC 2, Type 2 compliant. Visit us at [Thetalake.com](https://thetalake.com); [LinkedIn](#); or Twitter at [@thetalake](#).