

Proactive Compliance



Detect, Review and Respond to Digital Communications Risk



In financial services, overseeing business communications, whether it's labeled supervision or surveillance in the organization, is crucial for governance, ensuring compliance with company policies and regulations. Global regulatory mandates require firms to monitor communications to flag risks like insider trading or data leaks. Effective risk detection is vital but only part of compliance. Proactive measures to protect and respond to communication risks are essential for safeguarding organizations and their clients. As digital communication tools grow more complex, this task becomes challenging, reflected in increased regulatory scrutiny and fines.

KEY BENEFITS INCLUDE:

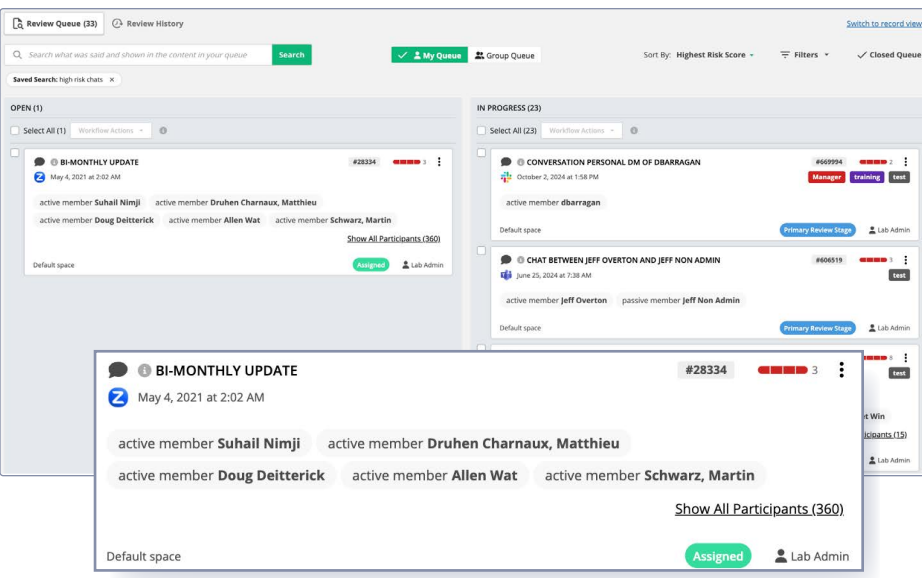
Advanced Detection

Using our highly explainable ML/NLP models, you can see a variety of industry or specific regulatory detections across policies for any communication type: voice, visual, document, chat, email etc. Models for SEC, FCA, FINRA, ESMA, GDPR, and related compliance, data protection, security, and workplace use are built and maintained by experts, reducing the burden on your teams.

The screenshot displays the THETALAKE dashboard interface. The top navigation bar includes 'Dashboard', 'Unified Capture', 'Search', 'Review', 'Cases', 'Realtime', and 'Policies'. The main content area is titled 'Policies' and shows a list of detection policies under the heading 'Key detections plus custom (in use)'. The list is organized into several categories:

- Background Risks:** Includes items like 'All/for Meeting Assistant Present - Videos', 'Contracts and Contract Language - Attachment and Emails', 'Credit Card and Driver's License Images - Attachments', 'Digital Whiteboard Apps - Videos', 'Noticeable Items Held up to Camera - Videos', 'Office and Document Apps - Videos', 'Online CRM & HR Apps and Portals - Videos', 'Online Development & Infrastructure Apps and Portals - Videos', 'Online Email Apps and Portals - Videos', 'Online Financial Apps and Portals - Videos', and 'Whiteboards on Camera - Videos'.
- Sensitive Information:** Includes 'Cloud File Sharing, Shadow IT & Personal Storage - Audio, Chat, and Emails', 'Conversations of Sensitive Documents - Audio, Chat, and Emails', 'Encrypted Documents - Attachments', 'Passwords & Credentials - Audio, Attachment, Chat, and Emails', and 'Sensitive Documents - Video and Attachments'.
- Personal Information / PII / Private Data:** Includes 'Account and Policy Identifiers - Audio, Chat, Attachment, and Emails', 'Australian Tax File Numbers (TFN) - Audio, Chat, Attachment, and Emails', and 'Birthdates - Audio, Chat, Attachments, and Emails'.

Each policy entry in the list includes columns for 'Multi-language', 'Detection Media Types', 'Redaction Policy: PCI', 'Active', and 'Risk'. The 'Risk' column shows various colored indicators (green, yellow, orange, red) representing different levels of risk. The interface also includes a search bar and various action buttons like 'Edit', 'Copy', and 'Delete'.

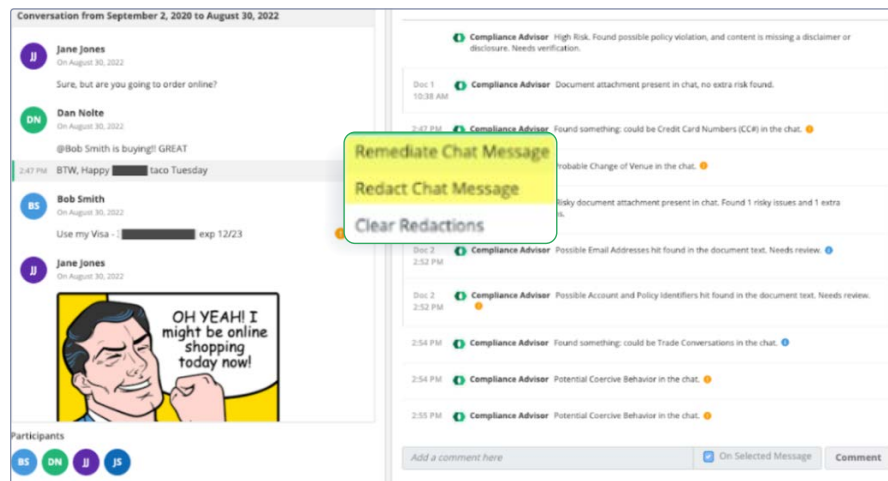


Efficient Review

Our patented Review Workspace with Review Queues present a summary card view of records with risk level, participants, media type and more. Prioritize and route communications records for efficient review handling and prioritization with Smart Workflow Routing & Review Rules (SWRV Rules.)

Effective Action and Response

Move beyond slow alerting results and poor evidence of compliance action with options to remediate content and communications in persistent chats and chat channels including Teams, Slack, Zoom Team Chat, RingCentral Glip, Webex Messaging and more.



About Theta Lake

Theta Lake's [multi-award winning](#) product suite provides [patented](#) compliance and security for modern collaboration platforms, utilizing more than 100 frictionless partner integrations that include Zoom, RingCentral, Microsoft Teams, Webex by Cisco, Slack, Asana, Movius, Mural and more. Theta Lake can capture, act as a unified archive connector across modalities for pre-existing archives of record, and/or act as a completely unified archive for all eComms, aComms (voice), vComms (video and images), and more. In addition to comprehensive capture and archiving, Theta Lake enables unified search and full replay across all modalities and content types including full conversation views across meshed UCC tools and media types. With unified visibility, customers can more successfully implement proactive compliance using patented ML and AI to detect regulatory, privacy, and security risks in communications.

