Financial services firms are increasingly using sales and marketing videos to promote their products and services. However, firms are subject to stringent advertising and record keeping regulations across the globe, which means they have unique requirements for creating, reviewing and publishing video content. In particular, financial services firms must:

- Ensure that promotional videos are clear, do not mislead consumers, and include important information like disclaimers and approved firm logos.
- Pre-review and approve video content before it is published to firm websites, industry publications or on social media.
- Be able to securely archive, and search videos so that they can provide them to regulators or locate them for audit purposes.

KEY RULES & REGULATORS

- IIROC Advertising rules 29.7 & 3603
- FINRA Advertising rule 2210
- SEC Advertising rule 206(4)-1 & Record keeping rule 17a-4(f)
- FCA Advertising rule COBS 4.2 & 4.10 & Record keeping rule SYSC 9.1
- ASIC Advertising guide RG 234

HOW THETA LAKE HELPS

Theta Lake’s platform is purpose built to help financial services firms create dynamic video content while adhering to relevant regulations.

- **Automated Risk Detection:** 70+ built-in, AI-driven policies detect regulatory and corporate compliance risks across every element of a video including voice, visual, and text-based content.
- **Smart Workflow:** Streamline reviews by identifying risky video content and routing it to the appropriate compliance teams for analysis. Workflows can be configured to auto-reject content containing profanity, promissory statements or missing mandatory disclaimers to increase efficiency.
- **Script Comparison:** Theta Lake’s ScriptComp® feature allows compliance teams to upload approved sales scripts & automatically detect and highlight deviations from authorised content, significantly reducing effort.
- **Archiving:** All content is securely stored in our SOC 2, Type 2 and ISO 27001 audited archive for easy discoverability and long-term retention, and can be configured for SEC-compliant “write once, ready many” storage required for US broker-dealers.