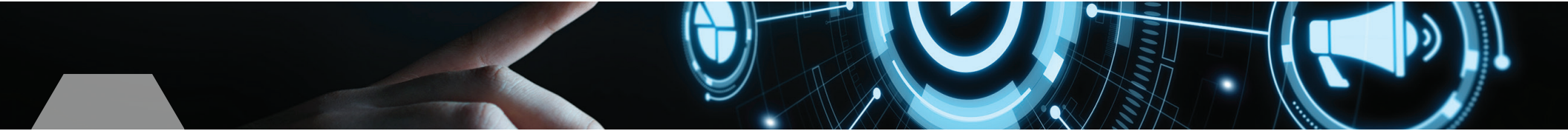


# Broker-Dealers and RIAs:

Personalized Videos and  
Compliance Made Easy



[thetalake.com](http://thetalake.com)



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# Introduction

We know registered investment advisers (RIAs) and small- to mid-sized broker-dealers provide an important service in the advising and investment community. From providing investment advice to customers and processing trades to publishing investment research, you fill several, important functions in the finance industry. Most notably, RIAs and broker-dealers uniquely offer customers a personal touch and build strong relationships within the local community. This creates a high-quality service and supports growth in regional communities.

At the same time, we also know your firm and you as an individual broker face increasing challenges that can impede the business. These range from industry consolidation to costly and resource-prohibitive regulatory requirements. While larger financial institutions can staff resources and time to managing ever-changing compliance requirements, these same requirements make it

difficult for RIAs and broker-dealers to run agile businesses or adopt new sales approaches to grow the business. The facts also show you are under pressure, with the Financial Industry Regulatory Authority (FINRA) recording that the number of broker-dealers is on the decline, dropping 3% year-over-year from 2016 to 2017.

The good news is that newer approaches like social video marketing and personalized sales videos have a proven positive impact on your firm and increase your broker-dealer business performance. And agile technologies like Theta Lake can streamline and automate your video compliance efforts to ensure your video marketing programs can quickly reach your audiences and make the most impact.

**This eBook details the top tips for video, especially personalized sales videos for your small firm, and how Theta Lake can cost-effectively add compliance and increase your ROI.**



# Personalized Videos Drive Business Growth

The increase in regulatory scrutiny and requirements for retention and supervision of communications with clients have made adoption of new digital communications hard to execute for resource-constrained firms. However, broker-dealers should be empowered to adopt new technologies that allow you to move more quickly to maintain your personalized touch and connection with clients.

Directed and personalized sales videos are a leading approach that have a positive impact on engaging with clients and enable you to more successfully retain new business. They uniquely allow you to take an authentic approach to interacting with clients and provide a faster and more direct path to building trust and rapport with your prospects.

DID YOU KNOW?

**90%**

of consumers indicate product videos directly inform purchase decisions<sup>1</sup>

**200%**

click-through increase for videos in email<sup>2</sup>

**62%**

are likely to purchase from a brand that authentically expresses itself<sup>3</sup>

# Cut Compliance Costs

Personalized videos have compelling merits that are too good to pass up.

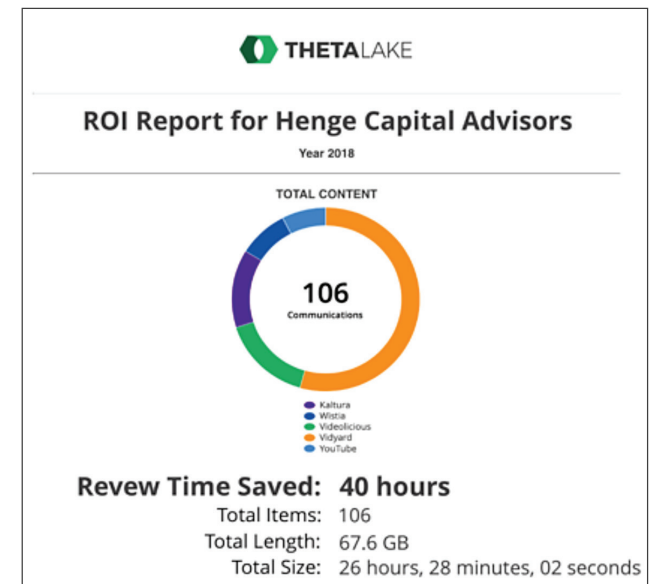
Of course, there's the compliance piece to consider. In the past, the necessary video review and archiving requirements meant a lot of complexity for smaller broker-dealer and RIA firms.

When you adopt personalized video marketing, you'll want to address the legacy compliance challenges ranging from:

- resource cost and time to adopt storage for retention
- manually reviewing scripts

- manually reviewing the video and reconciling it to the approved scripts
- creating a record of the review and approval
- plus, the time demands that end up consuming any potential profit

In fact, reports show that the common approach of manually reviewing video can take 2.5x the time of the video itself. In a video-first environment where the ROI comes from using as much video as possible, adding 250 hours of compliance review for every 100 hours of video negatively impact on the total ROI.



Theta Lake  
delivered 40 hours  
(1 week) time savings  
during 1-month  
period.

# Theta Lake: Compliant Personalized Videos

Theta Lake provides a purpose-built solution for personalized sales and marketing videos that solves the compliance conundrum and empowers you to achieve maximized ROI from your video programs. We help you eliminate the complexity of video marketing review and retention, improve your resource scale, and streamline compliance workflow.

Theta Lake removes the bottleneck of manual review and laborious capture for compliant archiving.

Theta Lake automates:

## DIGITAL COMPLIANCE REVIEW

Once scripts have gone through automated policy checks and AI-assisted workflows with approvers, your video can easily be added, retained, and securely archived.

## COMPLIANCE ANALYSIS

Your video is automatically compared to its approved script and analyzed for any FINRA, FFIEC, FCA, and corporate compliance risks that appear in the video's visual or audio components, delivering a faster and more efficient review process while improving supervision consistency.

**400%+**  
supervision reduction



“Innovative use cases like personalized video and video voicemail really appealed to us. When we saw Theta Lake’s capabilities, we knew we could move forward. Our brokers create hundreds of personalized videos monthly, and our compliance team can quickly and accurately review them without a big resource or time impact.”

—CEO, Broker-dealer firm

# Getting Started

With Theta Lake, you are empowered to adopt authentic and effective video marketing programs. Our solution helps streamline reviews on more videos and eliminates the resource burden from manual review.

That means more compliant videos for your business to achieve topline results.

## Here's your hit-list to get started:

1. Learn video marketing best practices
2. Watch our "How To Videos" with top marketing leaders, including:
  - Videolicious
  - Vidyard
  - Wistia
  - YouTube
  - Kaltura
3. Request a Demo:  
[thetalake.com/request-a-demo/](https://thetalake.com/request-a-demo/)

<sup>1</sup> Forbes. The Growth of Video Marketing and Why Your Business Needs It. 2018.

<sup>2</sup> SocialMediaToday. 40+ Video Marketing Statistics for 2019. Jan 2019

<sup>3</sup> Forbes. The Growth of Video Marketing and Why Your Business Needs It. 2018.

# PERSONALIZED VIDEOS

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