

# Simplify DCGA Compliance for Financial Services

Communications compliance & data governance with Zoom Compliance Manager

## The Challenge

Financial institutions face increasing regulatory scrutiny while adapting to hybrid workforces and leveraging unified communication platforms like Zoom Workplace. Heads of Unified Communications and Compliance must ensure their platforms meet stringent mandates from SEC, CFTC, MiFID II, and IIROC regulations.

Compliance requires capturing and archiving communications across voice, video, and messaging channels, maintaining detailed records for at least seven years, and safeguarding data. While these requirements often clash with the need for seamless collaboration and operational efficiency, failure to meet the requirements and prove you've done so can be costly.

## The Solution

Zoom Compliance Manager (ZCM), powered by Theta Lake, helps financial services organizations meet strict regulatory requirements by ensuring all client communications are properly recorded, retained, and protected. ZCM supports regulatory obligations by enabling automated supervision workflows and ensuring that required disclosures, such as call disclaimers, are consistently applied. Additionally, it helps firms maintain accurate records of advisory, trading, and transaction-related communications, reducing the risk of fines during audits or investigations. Built to support existing compliance frameworks, ZCM streamlines supervision processes, allowing financial services teams to meet regulatory standards without disrupting client engagement.

### HERE'S HOW ZCM SUPPORTS FINANCIAL SERVICES:

#### Automatic Capture and Archival

Capture all Zoom communications—Meetings, Phone, Whiteboard, AI Companion and more— into a compliant archive, with support for existing storage solutions.

#### Comprehensive Search and Export

Simplify legal holds, audits, and data exports with advanced search tools and retention policies.

#### AI-Powered Risk Detection

Identify risks like missing disclaimers, inappropriate language, and compliance violations.

#### Efficient Review and Remediation

Streamline reviews with AI-powered workflows, enabling compliance teams to prioritize risks effectively.

## Benefits of ZCM

### Integrated, Comprehensive Compliance

Capture, archive, and supervise all AI- and human-generated content

### Flexible Storage Options

Store records in 17a-4 compliant archive, ensuring compliance with mandated retention periods

### Fast Search & eDiscovery

Robust search and legal hold capabilities for all archived content

### AI-Powered Risk Detection

Leverage AI to identify potential compliance issues faster and prioritize them effectively

### AI-Enhanced Supervision Workflows

Use intelligent tools to streamline workflows and conduct oversight more efficiently

### Advanced Risk Management

Data loss prevention, insider risk detection, and proactive compliance tools

### Powered by Theta Lake

Built on the award-winning compliance platform trusted worldwide

## More ZCM Use Cases in Financial Services

- Generate detailed audit trails on demand
- Case management with Legal Hold
- Automated enforcement and notifications
- Customizable risk detection rules