



# THETA LAKE REALTIME COMPLIANCE ADVISOR

Realtime guidance that reduces compliance risk during audio, video, and chat conferencing

Video conferencing provides an effective and dynamic way to conduct business and communicate with your customers. For regulated industries, video conferencing is also a primary avenue for compliance risk. Most notably, disclosures and communication are the main reasons for misconduct penalties, making up 40% of regulatory fines and 77% of the total dollar amount of fines levied from 2012 to 2018.<sup>i</sup>

Extensive studies on the results of employee awareness training and monitoring oversight show that companies reduce risk exposure, on average, by more than 40%. Considering this benefit coupled with the knowledge that it's 2.7 times more costly for organizations to not comply with mandates, companies can expect to gain significant benefits by adopting similar awareness and monitoring programs for modern communication channels like video conference platforms.<sup>ii</sup>

Theta Lake Realtime Compliance Advisor provides your users with real-time behavior reinforcement, creating the greatest impact in reducing your organization's compliance risk related to misconduct and disclosure nonadherence during collaboration and video conferencing sessions.

## Solution Overview

Theta Lake Realtime Compliance Advisor is an AI-powered assistant that supports your employees during audio, video, and chat conference sessions with real-time reminders and compliance resources that reduce risk. Realtime Compliance Advisor helps your organization eliminate risky conduct during video conferences by alerting users that your organization has a video monitoring program in place and that they need to comply with corporate compliance policies.

The solution easily integrates with your existing collaboration platform. Once you've uploaded your organization's approved content, your users can quickly access it from the "RCA tab" in their video collaboration product toolbar. Whether it's an approved disclaimer audio file you want played or files you want users to share on screen, we've got you covered. And, when a user shares other files, Realtime Compliance Advisor will remind them of desired compliance practices.

## PRIVACY FRIENDLY

Realtime Compliance Advisor avoids information management and retention issues associated with collaboration, analysis, and archiving—making it privacy friendly. The solution does not inspect or capture content inside a call, video, or chat, so deployment is easy and nonintrusive while also enabling a substantial gain for your compliance program.

## Benefits

- **Simplifies compliance coverage**  
Puts approved compliance resources in your users' fingertips at the place and time they need it
- **Reduces risky conduct**  
Gives compliance advice and reminds users that their action is being logged when they do something potentially risky
- **Gain risk insights**  
Maintains an audit, monitoring, and risk trend report for compliance teams without intruding on meetings



## Key Features Realtime Resources

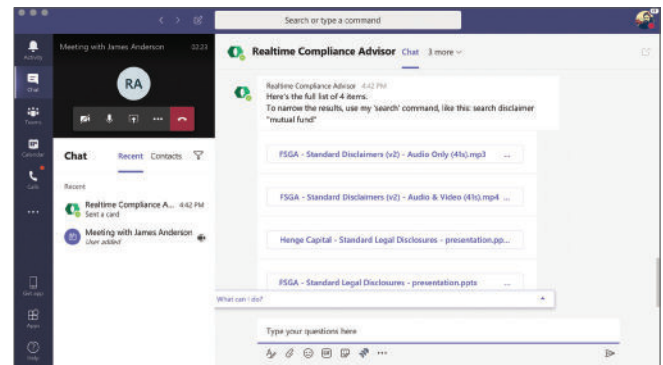
- Your approved disclaimers, disclosures, privacy statements, presentations, and more are automatically available for your users during audio, video, and chat conference sessions.
- Easily update your resources with the latest versions, ensuring your users are always using current files.

## Automatic Risk Alerts & Reminders

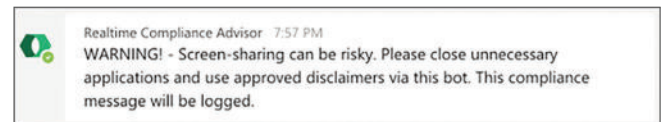
- Users are automatically alerted and reminded to be careful when they take risky actions, such as screen sharing.

## User Best Practices Reinforcement

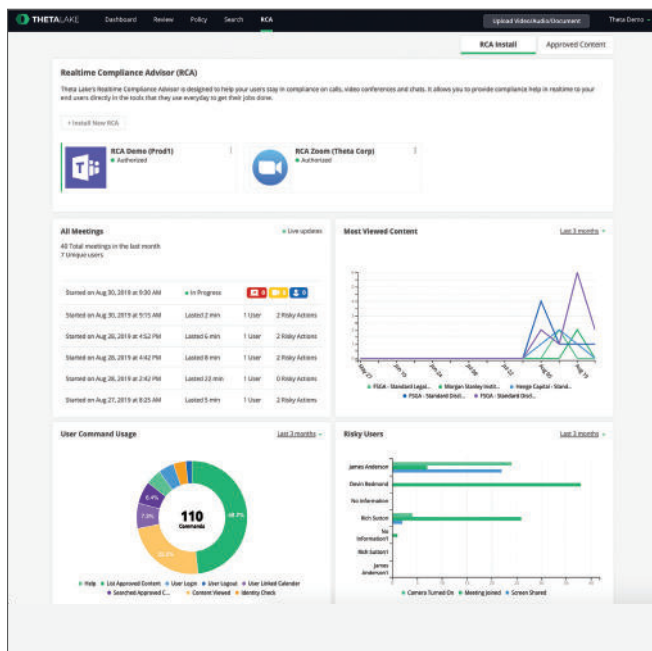
- Tracking and feedback alerts remind users of conduct best practices by using the solution's real-time resources, such as approved disclosures and disclaimers, while using full video conference collaboration features
- Users gain insights from their personal dashboard with details on their risk score, how their risk compares to others in the company, and what they can do to reduce their risk



Users have easy access to your current, approved compliance resources



Automatic alerts remind users of compliance risks



Enterprise dashboard provides insights into your compliant collaboration enablement

## Detail, Audit-Friendly Reports

- Gain insights into your video conference risks with usage tracking of disclaimers, screen shares, webcam usage, and more
- Reporting dashboard provides insight to act on how many or how few indicators of risk are occurring in your organization's collaboration tool usage
- Logs that an action was performed, protecting your organization from future litigation and demonstrates compliance best practices to auditors

## Extensive Integrations

- Provides an enterprise-ready solution with extensive video conference and video chat solution integrations, including Zoom, Microsoft Teams, and more
- Deliver enterprise-ready supervision reports to your stakeholders via alerting and reporting systems

## Request a Demo

To request a demo and learn more, click here.

<sup>i</sup> Corlytics. The Corlytics Barometer Conduct: 2018. 2018.

<sup>ii</sup> Corporate Compliance Insights. The Cost of Compliance. March 2018.

**ABOUT THETA LAKE.** Theta Lake provides cloud-based compliance for video, audio, and other modern digital communications. Its patent-pending technology uses AI, deep learning, and seamlessly integrates with the leading audio recording, video marketing, and video conferencing platforms to detect compliance risks in what was said or shown in modern digital communications. Using AI to also power insights and automation, Theta Lake provides directed workflow to add consistency, efficiency and scale to the compliance review and supervision process, driving down the cost of compliance.