



Case Study

**Enhancing compliance and efficiency:
Transforming a leading asset manager's
communications surveillance.**



The client

A leading global investment management firm, dedicated to long-term growth, providing tailored investment solutions for institutions, intermediaries, and individual investors worldwide.

Managing a diverse portfolio across equities, fixed income, private markets, and alternative investments, the client adapts its strategies to meet the evolving needs of investors. With a strong commitment to sustainability, it integrates environmental, social, and governance (ESG) principles into its investment approach, ensuring long-term value creation. By combining deep market expertise with cutting-edge research, the firm successfully navigates complex financial landscapes, delivering sustained success for its clients.

As the client's trusted Managed Service Provider for its Microsoft Teams environment, Natilik is dedicated to enhancing cost efficiency and driving technical innovation.

200

Years of expertise

38

Locations

6,000

Professionals

The challenge

During a strategic review, Natilik worked closely with the client to identify areas for improvement, with a particular focus on their communications surveillance platform. This platform, a critical component of their operations, was under review due to a variety of challenge. Natilik aimed to assess its effectiveness and explore opportunities for optimisation to enhance performance and reduce expenses.



Inefficiency

The client's communications surveillance platform was facing inefficiencies that affected overall system performance. These inefficiencies led to delays in capturing and analysing communications data, creating operational bottlenecks that impacted productivity. As the platform struggled to keep up with the client's growing needs, there was an increasing risk of missed data leakages.



High costs

The platform required substantial investment in licensing, infrastructure, and ongoing maintenance. As the business expanded, these costs continued to rise, putting pressure on budgets and reducing overall cost efficiency. The client needed to find a way to manage expenses without compromising the platform's effectiveness.



Evolving compliance requirements

Regulatory expectations were constantly shifting, requiring the client to adapt their surveillance processes to remain compliant. Failure to do so could result in potential legal and financial risks, making it essential to ensure that the platform could keep pace with changing industry standards.

The solution

To address these challenges, Natilik recommended Theta Lake as a strategic replacement for the client's existing communications surveillance platform. Theta Lake offers a comprehensive and modern compliance solution that streamlines multiple surveillance processes while significantly enhancing the user experience—particularly for the client's compliance team. By adopting Theta Lake, the client can achieve long-term cost savings and benefit from a more efficient, scalable, and user-friendly platform tailored to their evolving needs.

As the client becomes increasingly reliant on digital communication platforms such as Microsoft Teams, Webex, and others, ensuring regulatory compliance while managing vast amounts of communication data became a critical priority. Theta Lake's AI-driven technology provides an intelligent, automated, and scalable solution to capture, analyse, and archive communications—ensuring the clients' adherence to industry regulations and internal policies.



Multi-platform recording

Captures audio, video, chat, and shared content across leading communication tools, ensuring full compliance coverage.



AI-powered analysis

Automatically detects and flags potential compliance risks, such as inappropriate language, data leakage, or policy violations.



Regulatory compliance

Aligns with major industry standards, including FINRA, SEC, GDPR, and MiFID II, with built-in tools for eDiscovery, legal holds, and audit trails.



Secure archiving

Provides encrypted storage with easy retrieval, long-term retention, and seamless audit access.



Seamless IT integration

Integrates effortlessly with existing IT infrastructure, cloud storage, and compliance workflows, minimizing disruption.



User-friendly dashboard

An intuitive, centralized interface enables compliance teams to efficiently monitor, manage, and generate reports on recorded communications.

Project outcomes

By implementing Theta Lake, the client successfully transformed their communications surveillance capabilities, achieving significant cost savings, operational efficiency, and regulatory compliance. The new platform streamlined multiple surveillance processes, reducing manual effort and enhancing the compliance team's ability to monitor, analyse, and act on potential risks more effectively.

With Theta Lake's AI-powered analysis and seamless integration, the client now benefits from automated compliance monitoring, real-time risk detection, and secure, scalable archiving across their Microsoft Teams environment and other digital communication platforms. This modernisation has not only strengthened their ability to meet global regulatory requirements but also improved overall user experience and reporting efficiency.

As a result, the client is now better equipped to manage their growing compliance needs while remaining agile in an evolving regulatory landscape. Their partnership with Natilik continues to drive innovation, cost efficiency, and long-term strategic value across their operations.

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