

Evaluating Communications Oversight Solutions

Questions that make an impact

1 Text from personal phones

- Are you able to capture business texts from personal phones without an external app or second number?
- Is there contact-level whitelisting to protect privacy and ensure only business texts are captured?
- Does iMessage capture require iCloud access?
- Is text archiving part of the solution or outsourced to a third party?
- Does the software capture iMessage, WhatsApp, and Android texting through native apps?

2 AI for communications oversight

- Is the AI capable of identifying risk in context of SEC and FINRA recordkeeping rules, or does it rely on keyword lists?
- If keyword only, how does it reduce false flags in disclaimers and other similar content?
- Is the AI capable of automating scheduled random reviews?
- How does the AI ensure human-in-the-loop oversight?
- Will your firm's AI data be used to train public AI models?

3 Data storage and fees

- Are there fees for uploads and downloads?
- Do they provide free data storage?
- Do they offer customizable, on-demand reporting?
- Are they able to push data to your own data lake, if desired?
- Is there a fee or penalty to access and transfer data to another company?
- Are there per connector pricing tiers and minimum user requirements?

4 Platform flexibility

- Is the pricing and channel mix flexible and scalable as your firm and client communication needs evolve?
- Does the platform cover all of your communication needs including email, social media, website, chat, text, and marketing?
- Is the company an Official LinkedIn Regulatory Compliance Partner?
- Are they able to capture, review, and archive YouTube videos?