



Compliance Recording when Working from Home

Working Secure from Home and Remaining Mobile with ASC Dial-In Recording Service

Compliance Recording: Obligations when Working from Home

- **Documentation Obligation**
Encrypted, tamper-proof recording of incoming and outgoing calls (possibility to flexibly start, stop, and pause recordings)
- **Notification Obligation**
Notifying customers that the conversation is being recorded (by the consultant or by an automated recorded announcement)
- **Retention Obligation**
Retention of the entire communication (archiving period according to applicable financial market directives such as MiFID II, Dodd-Frank & Co.)

The pandemic outbreak of COVID-19 prompts more and more companies to look for solutions to enable their employees to work from home and remotely without having to change familiar processes.

Especially for employees from the financial services industry this is no easy feat: Strict regulations regarding recording and archiving of calls apply. Customer consultation used to be impossible from home as the means to record a call were only available at office.

ASC's Dial-In Recording Service offers a flexible, quickly deployable, uncomplicated and cost-effective solution for employees working from home who would otherwise lack legally compliant recording and archiving of consultation conversations with their existing communication solution.

Compliance Recording when Working from Home

ASC Grants Legal Compliance when Working from Home

You would like to enable legally compliant recording for employees working from home? ASC Dial-In Recording Service enables your employees to work from home and record calls from any device - fixed-line phone, mobile phone or services of collaboration providers (Microsoft Teams, Cisco WebEx, Slack, Unify Circuit, Snapview, Purpleview, etc.). On top of that, ASC offers the possibility to record communication of video conferencing, co-browsing and chat solutions from the leading providers.



Recording Obligation Stipulated by MiFID II, Dodd-Frank & Co.

There are various laws that require the recording of advisor conversations, be it MiFID II, Dodd-Frank Act and many more. All communication aimed at closing a deal, whether or not the advice given leads to a deal, must be recorded and the recording must be archived for up to 10 years. Violations are punished by supervisory authorities with substantial sanctions. In the insurance industry, too, some countries have recently introduced a recording obligation.

Recording of Consultation Calls (Fixed Line, Mobile, Collaboration Tools)

Recording made easy: The consultant calls the customer or vice versa: If the call is subject to a recording obligation, the consultant integrates the cloud recording system (3-way conference) by means of a dedicated phone number. Additionally, there is an option to pause and resume the recording of the call by pressing a dedicated key.

As soon as a recording is initiated, the automated message "Your call is being recorded" is replayed. When the call is over, the relevant recording is saved in the ASC *neo* cloud in a tamper-proof way as well as in compliance with the applicable directives; subsequently, it can be search for and replayed as required.

Your Advantages

- Legal compliance
Recording, encryption, and archiving of consultation calls
- Mobile
Location-independent solution
- Efficient search and replay
Tagging additional data to the recording for efficient search and quick replay
- Quick and easy
Immediate deployment without further ado
- Flexibel
Possibility to flexibly start, stop, and pause the recording
- Secure
Redundant, audit-proof solution guarantees legally compliant data storage

About ASC

ASC is a worldwide leading software provider of omni-channel recording, quality management and analytics addressing all enterprises with recording needs, especially contact centers, financial institutions and public safety organizations. ASC records, analyzes and evaluates interactions across all media, either as an on-premise or cloud solution. Headquartered in Germany and with subsidiaries in United Kingdom, France, Spain, Switzerland, Romania, Dubai, United States, Brazil, Mexico, Hong Kong, Japan and Singapore as well as a worldwide service network, ASC is a powerful global player in its industry.

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We record & analyze communications

