



## Tackling the Challenges of MiFID II with ASC's Recording Suite

### Your Obligations

- **Documentation**  
Recording of all consultations
- **Notification**  
Notifying the customer that the conversation is being recorded and archived
- **Retention**  
Storage of all communications for a minimum of five years

The Markets in Financial Instruments Directive, MiFID II, has taken full effect on January 3, 2018. Its purpose is to increase transparency in financial markets and protect investors.

One section of MiFID II regulates the recording of consultant calls in securities trading. The legislation mandates comprehensive and tamper-proof recording and archiving of all consultant calls regardless of the channel: phone, video call or chat.

Our innovative documentation solutions help you implement required processes to comply with MiFID II regarding communications recording.

We record & analyze communications



# Complying with the Financial Instruments Directive MiFID II

## Impact of MiFID II

The obligation to record affects any interaction potentially leading to a business transaction, whether the transaction is consummated or not. The legislation mandates comprehensive recording and archiving of consultant calls for a minimum of five years. Non-compliance with the directive is subject to heavy fines by the Federal Financial Supervisory Authority.

## MiFID II-compliant with ASC

With our solutions, companies meet MiFID II regulations for compliance recording. Customized access rights fulfill the demands of work councils while flexible redundancy scenarios and state-of-the-art encryption ensure reliability, privacy and security.

## Omni-Channel Recording

ASC's *neo* recording suite captures, saves and archives all communications channels including mobile voice, video, and chat for financial institutions, contact centers and public safety organizations. Since 1964, ASC has provided innovative recording systems to meet the most stringent demands.

ASC offers integrated solutions for major telecommunications and trading service providers including Alcatel-Lucent Enterprise, Avaya, BT, Cisco, IPC, Mitel, Skype for Business and Unify.

## Analytics Solution for Financial Institutions

ASC's *neo* recording suite offers innovative recording to meet the most stringent demands. Our systems meet the most demanding technical standards in the industry and offer a

wide range of redundancy scenarios to guarantee the highest availability and reliability.

In addition, our portfolio includes a solution designed to satisfy the unique needs of the financial sector, "INSPIRATION*neo* for Compliance." Speech analysis lets you define criteria to filter out relevant calls including those violating compliance regulations.

## Your Benefits

- Tamper-proof recording  
Encrypting and archiving consultant calls for a minimum of five years
- Efficient search-and-replay  
Tagging additional call-index data to the recording
- Fail-safe architecture  
Compliance with the highest safety and documentation standards through fail-safe architecture
- Minimizing risks  
Avoiding penalties by supervisory authorities through MiFID-compliant recording

## Complying with the Securities Trading Act on Documentation

Since 2010, investment service providers have been required to preserve investment consultation calls with private customers in writing. Violators may be subject to hefty fines.

Our fail-safe and tamper-proof recording software, EVOIP*neo*, is the perfect choice to fulfill documentation requirements mandated by the Securities Trading Act as well as the regulations of MiFID II.

## 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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