

Integrated Compliance Recording Solution for IPC Unigy



Highlights

- **Expertise**
Specific solution for trading in the financial industry
- **Compliance**
Evidence-proof and MiFID-II-compliant recording
- **Security**
Encryption of calls and management of complex user rights

IPC is a global leader in trading communications and applications for the financial industry. ASC offers a certified solution for evidence-proof recording and long-term archiving of communications for IPC Unigy trading platform.

ASC's recording solution enables you to fulfill compliance regulations such as MiFID II and Dodd-Frank in a simple and efficient manner.

ASC's *neo* suite allows recording communications on land line, mobile voice, chat, video, screen and SMS. Additional tools for speech analysis round out the portfolio. ASC offers its products as a local solution on-premise and as a service from the cloud.

We record & analyze communications



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Omni-Channel Recording

ASC's *neo* recording suite captures, saves, and archives the entire corporate communication in financial institutions, contact centers, and public safety organizations across all channels including land line, mobile voice, chat, video, screen and SMS.

EVOIP*neo* active for IPC Unigy

EVOIP*neo* active provides an integrated VoIP recording solution for IPC Unigy which can be integrated seamlessly with Unigy Turrets enabling active recording of VoIP calls. Conference capacities are not affected.

Fail-Safe Architecture

ASC offers diversified possibilities to customize the recording system to meet the customers' individual requirements. Parallel recording architectures are the ideal solution for systems which require full recording availability at any moment and which must avoid loss of recordings data at any cost. Recording takes place on several servers in parallel. This ensures uninterrupted recording.

MiFID II Compliance

One aspect of the EU Markets in Financial Instruments Directive (MiFID II) regulates the recording

of consultant calls in securities trading. The legislator prescribes the comprehensive and evidence-proof recording and archiving of all consultant calls regardless of the channel, be it phone, video call, chat or e-mail. Our solutions support you in complying with the requirements of MiFID II and thus avoiding high fines.

Litigation Hold

ASC provides a litigation hold to preserve all recorded data which may be relevant for the company in the event of a legal dispute. Individual access rights can be defined for each litigation hold so that only a selected circle of authorized users are able to access the data. Calls which have been stored in a litigation hold are not deleted automatically. Only users with the corresponding authorization can intentionally delete the calls.

Compliance Assurance with IPC Unigy

Labeled as Compliance Assurance, IPC offers the automatic verification of the entire trading environment including recording. Automated tests of the turrets, the recording system, and the network infrastructure guarantee unrestricted functionality. Permanent real-time monitoring in the trading environment ensures that a warning is issued immediately if

problems occur. Additionally, proper operation can be proved by comparing the recording with the CDR data from the PBX.

Search and Replay

Browser-based and client/server-based search and replay applications with flexible search criteria make it easy to search for recorded calls.

Analysis Solution for Banks

ASC offers an analysis solution which has been designed to answer to the special needs of the financial sector: INSPIRATION*neo* for Compliance. By means of speech analysis, risky interactions can be tagged automatically to enable the management or the compliance team to take immediate action to prevent possible breaches or insider trading.

Advantages

- Parallel operation to avoid loss of recordings
- Evidence-proof and MiFID-II-compliant recording
- Active VoIP recording in almost any network structure
- Recording of encrypted calls
- Efficient search and replay functions
- Integration of the specific solutions of the financial sector

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, 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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