



We record & analyze communications

COMPLIANCE PRIMER – FINANCE

Swiss Financial Market Advisory Authority (FINMA)

FINMA is Switzerland's independent financial-markets regulator. Its mandate is to supervise banks, insurance companies, financial institutions, collective investment schemes, and their asset managers and fund management companies. It also regulates insurance intermediaries. It is charged with protecting creditors, investors and policyholders. FINMA is responsible for ensuring that Switzerland's financial markets function effectively.



Mitigate Risks with
ASC Technologies' Recording and AI Solutions

Learn more by watching [this short video](#).



Swiss Financial Market Advisory Authority (FINMA)

Main Purpose

FINMA is mandated to protect financial market clients – creditors, investors and policyholders – and is responsible for ensuring that Switzerland's financial markets function effectively.

Who Must Comply

FINMA is responsible for ensuring that all companies listed on an exchange in Switzerland comply with the market conduct rules. This general market supervision extends beyond the financial market.

How can ASC Help with Compliance?

Aside from compliance regulations set by the FINMA, MiFID II, Dodd-Frank, and PCI DSS, companies also need to comply with data security regulations like the GDPR. ASC's solutions makes sure that companies meet both regulatory requirements. Designed for today's modern communications environments ASC make it secure and easy to comply with the highest data security standards and sets its solutions apart from others.

- AI helps instantly detect potential compliance breaches
- Configurable recording rules, access rights
- Secure and selectable storage & archiving options
- Tenant-specific data encryption / bring your own key
- Approval process for access and replay
- Customizable retention times & secure deletion process
- Audit-log reports

About ASC Technologies

ASC is a worldwide leading provider of software and cloud solutions in the field of omni-channel recording, quality management, and analytics. Among our target groups are all companies that record their communications, especially financial service providers, contact centers, and public safety organizations. We offer solutions for recording as well as AI-based analysis and evaluation of all communications – with full flexibility as a cloud service, on-premise or as a hybrid solution. Headquartered in Germany with subsidiaries in 14 countries and experienced system integration partners in over 60 countries, ASC is the #1 Europe-based player in its industry.



FOLLOW US ON

