



We record & analyze communications

COMPLIANCE PRIMER - FINANCE

Markets in Financial Instruments Directive 2014 (MiFID II)

MiFID II harmonizes the application of oversight among member nations and broadens the scope of the regulations. In particular, it imposes more reporting requirements and tests in order to increase transparency and reduce the use of dark pools (private financial exchanges that allow investors to trade without revealing their identities) and over-the-counter (OTC) trading.



Mitigate Risks with
ASC Technologies' Recording and AI Solutions

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



Markets in Financial Instruments Directive 2014 (MiFID II)

Main Purpose

- Better Market Infrastructure/Transparency
- Stronger Product Governance Requirements
- Clearer Rules on Inducements and Unbundling of Research
- Stronger Investment Protection Protocols and Enhances MiFID II

Who Must Comply

MiFID II is a legislative framework instituted by the European Union (EU) to regulate financial markets in the bloc and improve protections for investors. It not only covers virtually all aspects of financial investment and trading but also covers virtually all financial professionals within the EU.

How can ASC Help with Compliance?

Aside from compliance regulations set by the Dodd-Frank Act, MiFID II, 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

