



We record & analyze communications

# Integrated Recording & Compliance Solution for IP Trade



## Highlights

- **COMPATIBILITY**  
Innovative solution to record communications based on IP Trade
- **RELIABILITY**  
Flexible redundancy scenarios for highest availability
- **SECURITY**  
Encryption of calls and management of complex user rights

ASC offers compliance recording for customer communications of IP Trade.

With investors' capital at stake in nearly every call, recordings are a critical piece of the audit trail. A clear, indisputable documentation of a transaction is a must for any risk-and-compliance strategy.

ASC's Neo Suite records communications from multiple channels such as landline networks, mobile phone, video call, chat, and screen activities.

Additional tools for quality management, speech analytics, and eLearning round out the portfolio. ASC offers its products as an on-premise solution or as a service from the cloud.

# Integrated Recording & Compliance Solution for IP Trade

## Omnichannel Recording

ASC's Neo Recording Suite captures, saves, and archives the communication of multiple channels including mobile voice, video, and chat for financial institutions, contact centers, and public safety organizations.

## IP Trade Communication

IP Trade centralizes vital information by unifying voice, data, and video communications on a single, flexible platform. Based on state-of-the-art SIP (Session Initiation Protocol), VoIP, and IP technologies, IP Trade enables traders to instantly access colleagues located all around the globe as well as data and analyses on IT systems, real-time streaming media, and other vital information.

## EVOIP<sup>neo</sup> active for IP Trade

ASC's recording solution can be installed anywhere in the IP network and captures voice as well as additional call index data. Audio streams are sent to the recording software EVOIP<sup>neo</sup>, including call index data such as phone number, call direction, etc. This solution provides active VoIP recording without affecting conference capacity.

## MiFID II Compliance

MiFID II, the European financial market directive, specifically addresses communications recording and requires

the preservation of any consultations or advice in security trading leading or might be leading to a transaction whether by phone, video or chat. Our solutions help you to meet these requirements and avoid heavy fines.

## Litigation Hold

ASC provides a litigation hold to preserve all recorded data that may relate to a legal action involving the company. Only a user with the corresponding authorization can intentionally delete the calls.

## Fail-Safe Architecture

ASC offers different possibilities to customize the recording system to meet the customers' individual requirements. Architectures of the type Parallel Recording with several servers are the ideal solution for systems which require full recording availability at any moment and which must avoid loss of recordings at any cost. Recording takes place on the servers in parallel. That is why recording can be guaranteed without interruption.

# Integrated Recording & Compliance Solution for IP Trade

## PCI DSS Compliance

PCI DSS is a universal standard to optimize security for credit card transactions. EVOIP<sub>neo</sub> helps operators to meet the stringent data security requirements of the payment card industry.

## Search & Replay

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

## Replay via Turret

IP Trade offers a ReplayBox to replay recordings. The ReplayBox allows searching and replaying recordings directly on the turret without the need of an additional computer. The ReplayBox is one more option in the range of replay possibilities offered by ASC. Therefore, users are sure to find the ideal replay solution for any case of application.

## Analytics for Compliance

Speech analysis tools allow filtering for relevant information to minimize the risk of compliance breaches and help financial institutions to ensure compliance with legal requirements such as MiFID II or Dodd-Frank, and thus to avoid heavy fines.

### Benefits

- TAMPER-PROOF RECORDING AS STIPULATED BY MIFID II & PCI DSS
- EFFICIENT SEARCH & REPLAY
- SUPPORTS REPLAY-VIA-TURRET FUNCTION
- RECORDING OF MULTIPLE CALLS FROM OR TO THE SAME TRADING TURRET

## ASC Technologies

ASC is a global leader in compliance recording, quality management and AI-based analytics. Our solutions help organizations evaluate their communications-based data, securely meet regulatory requirements, and optimize customer service. Using AI, conversations are analyzed in real-time to detect compliance violations and assess the quality of customer interactions. Financial services, contact center, and public safety organizations rely on ASC to ensure their communication is legally compliant and customer-centric. Our solutions are scalable and flexible - available as cloud services, on-premise, or in hybrid environments. Headquartered in Germany, with subsidiaries in 16 locations and a global partner network in over 60 countries, ASC is the #1 in Europe and sets standards for AI-based communication technology worldwide.

