



ASC Partner Webinar

New Product Features, Current
Market Developments, and
Relevant Partner Topics

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OUR EXPERTS



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New Partner Experience



Exclusive Partner Webinars

- Twice a year with in-depth product insights and market trends
- Exclusive content and early updates for our partners

Partner Newsletter

- Quarterly distribution with exclusive insights
- Latest market trends, product updates, and best practices

ASC Partner Certificate

- Accessible via the Partner Portal
- Preferred Sales Partner & Preferred Technical Partner
- A testament to expertise, quality, and trusted collaboration

Co-Branding & Demo-Support

- Co-branded brochure for professional customer engagement in your corporate design
- Structured demo guide for compelling product presentations

General price list changes for more usability & flexibility



- 2 separate **price lists** for **Recording Insights** and **Recording Insights AI**
- Quick **Order Guide** within the price list
- **New structure** (based on feedback from the field)

- Base Licenses
- Platform Integrations
- AI Add-Ons
- AI Consumption Packages
- Further Add-ons
- Cloud / On-Premise Storage Packages
- Export Transfer Packages
- Onboarding / Training Packages
- Extended Support
- Customer Success Management / Design, Project Management and Services / Trial Packages

Order Information for Recording Insights

1. Select the appropriate **Recording Base License** in the required numbers [**Mandatory**]
2. Select the preferred **Platform Integrations** in appropriate numbers [**Mandatory**]
3. Select **AI Add-Ons** [**Optional**]
4. Select further **Add-Ons** [**Optional**]
5. Select preferred **Storage, Archiving and/or Export packages** [**Mandatory**]
6. Select relevant **Services** [**Mandatory/Optional**]

New Recording Insights User Interface



EASY & CLEAR NAVIGATION

A clean layout with clear structure and helpful guidance ensures an intuitive user experience.



OPTIMIZED FOR ALL DEVICES

Thanks to responsive design, you enjoy a consistent experience across desktop and mobile.



INDIVIDUAL VIEWS

Easily switch between list and grid views, use filter, sort, and grouping options, and save your preferred settings.



ACCESSIBILITY FOR ALL

Support for WCAG standards with keyboard navigation, screen reader compatibility, high contrast, and scalable text.



MODERN DESIGN

A contemporary look based on Microsoft Fluent UI 9 – clean, minimalistic, and user-friendly.



HIGH-PERFORMANCE ARCHITECTURE

Enhanced performance, strong scalability, and a future-proof technological foundation for upcoming extensions.

New Recording Insights User Interface



WHAT HAPPENS NEXT?

Availability and Rollout

- The **Live View** is already available
- Coming soon: **Recording Overview** (List/Grid View), **Conversation Safe**, and **Recording Detail View**
- Additional **modules** will be released step by step



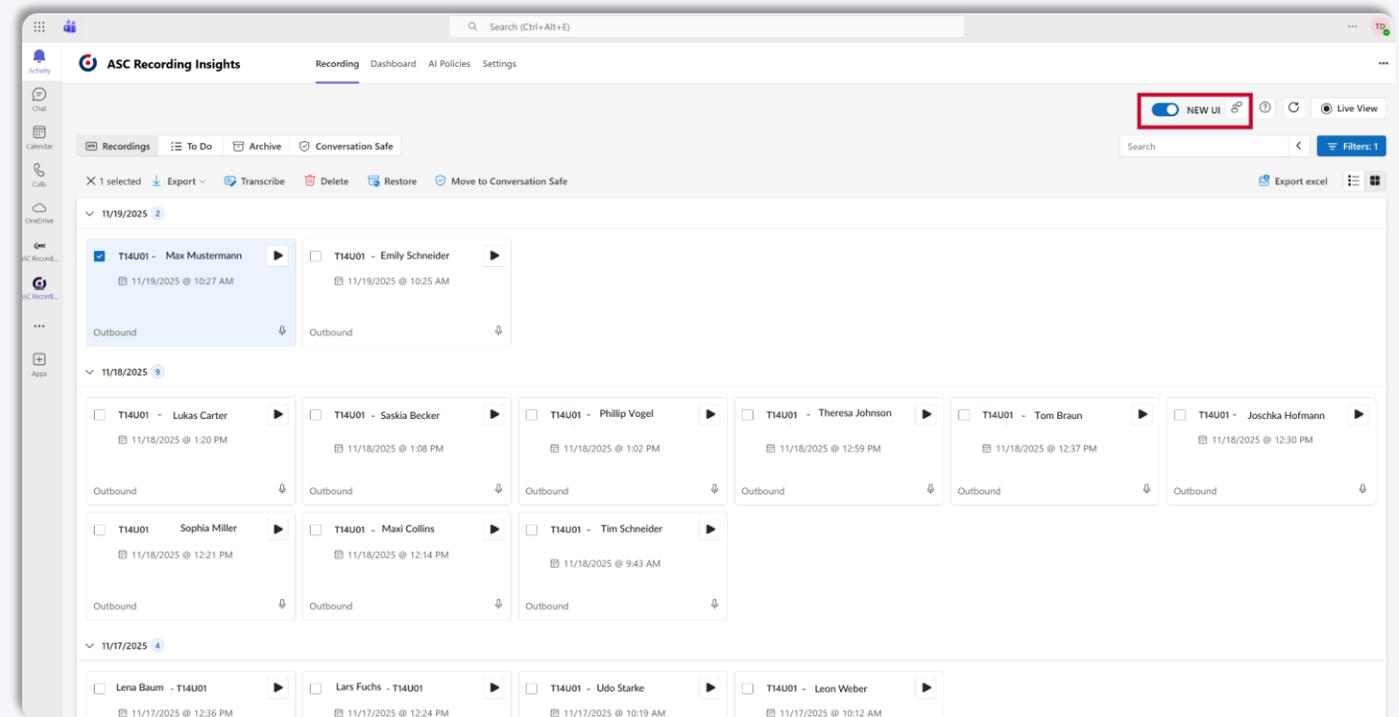
New Recording Insights User Interface



WHAT HAPPENS NEXT?

3-Month Transition Phase

- With the **Switcher Button**, you can switch between the new and the previous interface at any time during the 3-month transition period
- You can also use the integrated **feedback form** to share your experience, suggestions, and ideas with us



Recording Planner with Profile Management



The new Recording Profile significantly expands the recording capabilities only to mention a few use cases and functionalities here:

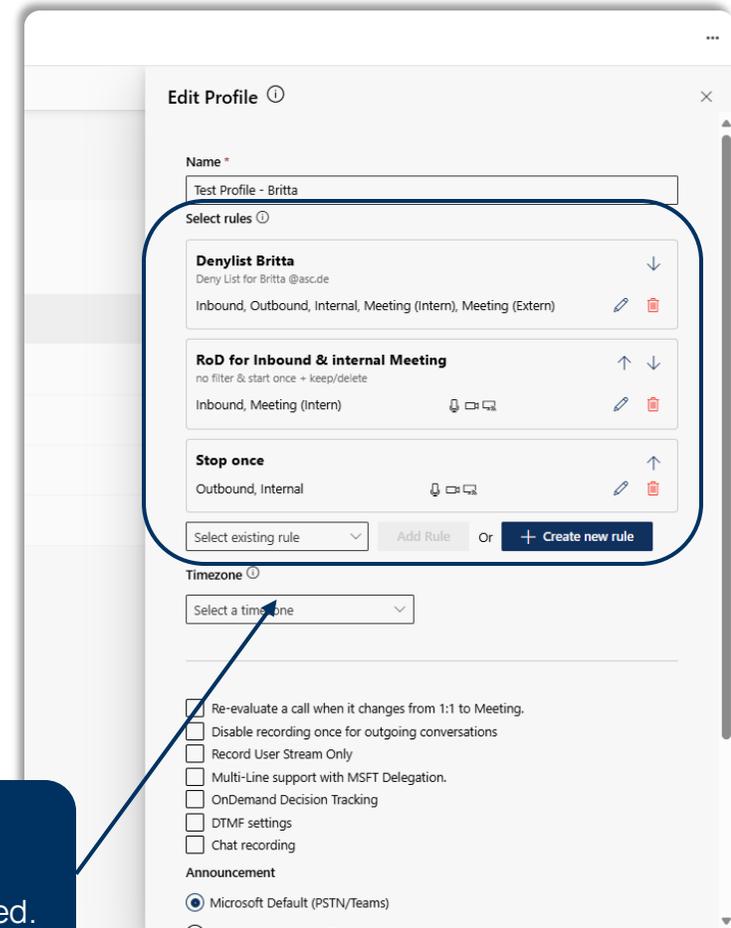
- One Profile combines multiple rules
- Individual retention time per media recorded
- Specify media to be recorded by conversation type/ recording Rule
- Quality management filter for recording (Version 1: schedule only)
- Use of different announcements according to Conversation type
- Recording starts after X seconds
- Recording control on media level

Recording Planner with Profile Management



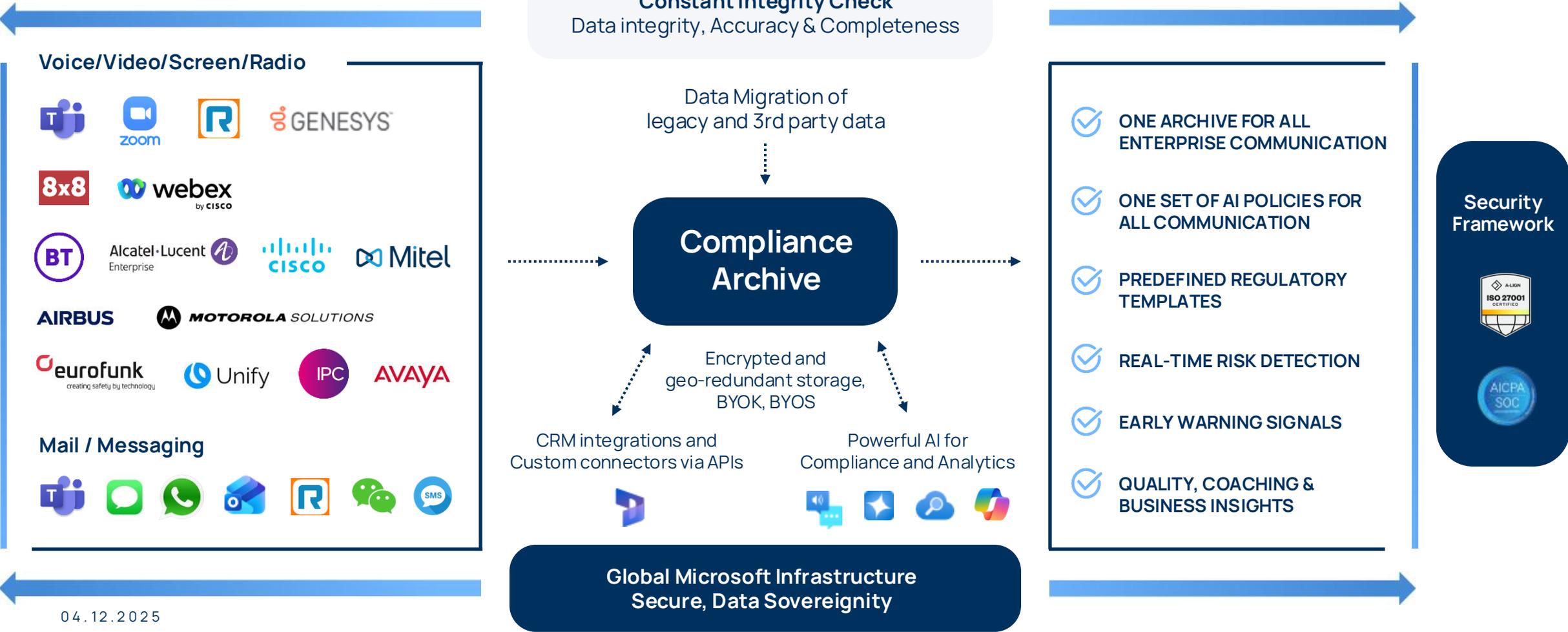
Just 5 steps to define a Profile Rule:

- **Details** → Which Conversations types will be covered by this profile rule
- **Filters** → Define filters related to participants, meeting details, duration and scheduling.
- **Recording Type** → Define the recording behavior for conversations—automatic, manual, or disabled.
- **Recorded Media & Retention time** → Define Retention time with detailing down to media level
- **Announcement** → Can be determined on rule level if needed for the use case



Profile rules are applied in order of priority. The first rule that defines either a recording instruction or a recording prohibition will be used.

One Single Pane of Glass



Extended Compliance Coverage: Now Including Microsoft 365 E-Mails



Cross-Channel Compliance Documentation for All Interactions: **Voice, Chat, Video & E-Mail**

- Seamless capture and archiving of relevant e-mails from the Microsoft 365 Outlook mailbox
- Analysis of content and attachments based on defined compliance policies
- Unified processing across all communication channels

YOUR BENEFITS AT A GLANCE

- ✓ Complete transparency across all communication channels
- ✓ Faster detection of risks and non-compliance
- ✓ More efficient case handling through end-to-end workflow integration
- ✓ Reduced manual review efforts, increased security and improved audit readiness

Efficient Case Management for Transparent & Traceable Processes



CASE MANAGEMENT

- Centralized consolidation of all relevant interactions
- Fast, transparent, and audit-ready processing of incidents
- Automated capture and classification of:
 - Calls
 - Chats
 - E-Mails
 - Attachments
 - Videos
- Processing within clearly defined workflows

- ✓ **AI-supported** case creation & standard workflows
(New, In Progress, Escalated)
- ✓ **Flexible assignment** to teams/responsible owners and personal **case overview** via MyQueue
- ✓ **Real-time reporting** on cases, processing times, and trends
- ✓ **Audit-proof logs** for complete traceability of all actions

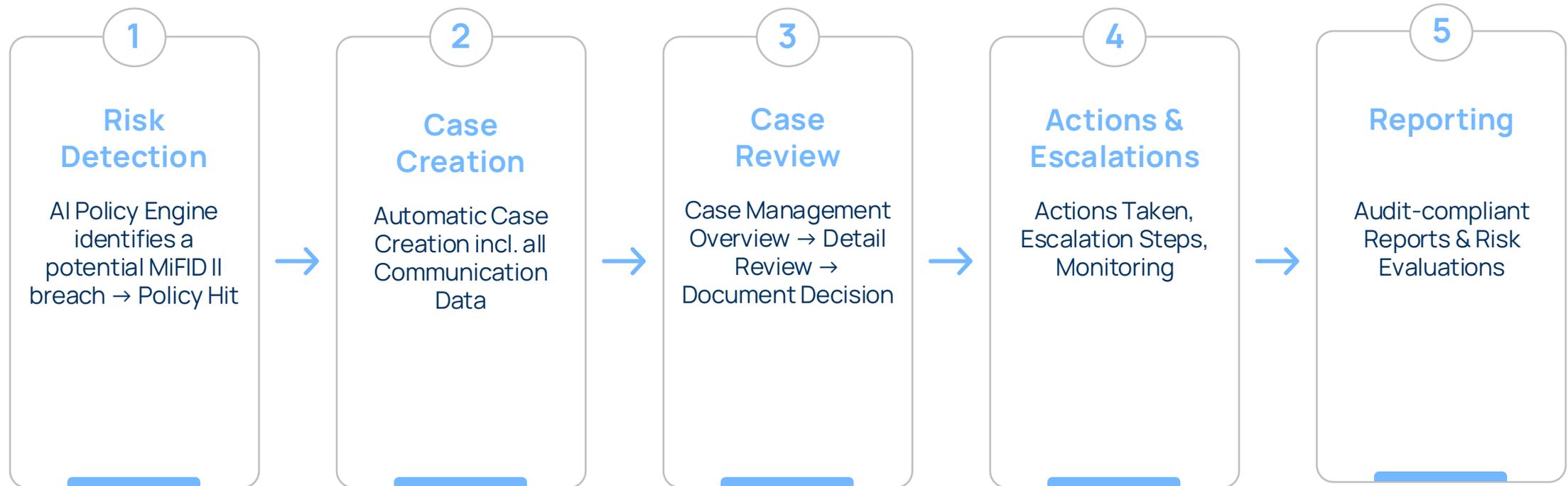
Case Management: More Efficiency, Less Risk, Clear Accountability



With efficient case management, compliance teams can typically reduce up to 60% of their manual workload.

- ✓ Faster **assessment & processing** of incidents
- ✓ Increased **transparency** and clear **accountability**
- ✓ Adherence to internal **policies** and external **regulatory requirements**
- ✓ Significantly reduced **manual effort** through automation
- ✓ Enhanced **security** and improved **audit readiness**

Use Case: Compliant Handling of a Potential MiFID II Violation



What Impact Does MiFID III Have on the Recording Obligation?

Stricter requirements for documentation and monitoring

KEY POINTS

Existing Obligation

- Potentially transaction-relevant conversations and messages must...
 - be recorded.
 - be stored in a tamper-proof manner.
 - be retrievable.

New & Intensified

- Behavioral Oversight: Active analysis of misconduct
- Off-Channel Monitoring: Monitoring of unauthorized communication channels
- Best Execution evidence without PFOF (Payment for Order Flow)

Risks Without Compliance Recording

- Fines
- Liability claims
- Loss of reputation

MiFID III Ready with Recording Insights - Efficient, Audit-proof, Future-proof



- ✓ **Omnichannel Recording & Analysis**
Landline, Mobile, Video, Chat, E-Mail, Collaboration
- ✓ **AI-supported Risk Detection**
Automated checks for rule violations, mis-selling, off-channel communication
- ✓ **AI Policy Templates**
Predefined compliance analyses for MiFID III, FCA & Dodd-Frank
- ✓ **Seamless Integration**
Connection to CRM, trading systems & collaboration tools
- ✓ **Audit & Reporting Functions**
Tamper-proof, searchable, exportable

Compliance Violations can be Very Costly



2024

Sixteen financial companies accepted penalties of over **\$81 million** for serious violations of legal record-keeping requirements.

2024

Around 90 percent of all global bank **finances** exceeding \$500,000 were imposed on institutions in the US, corresponding to a total volume of **\$4.5 billion**.

2024

The Financial Conduct Authority (FCA) in the United Kingdom published fines totaling **£176 million**.

2024

The U.S. Securities and Exchange Commission (SEC) recorded with fines totaling **\$8.2 billion** its strongest crackdown to date.

2024

European supervisory authorities imposed over **€1.2 billion** in GDPR fines, maintaining high pressure in the area of data protection.

2025

Twelve financial companies were fined over **\$63 million** for inadequate recording of business communications.

Compliance Recording is a Must Have for Regulated Companies

Why Compliance Recording is essential

Regulated industries e.g. financial institutions, healthcare organizations, and government agencies are subject to requirements for comprehensive communication recording.

Mitigating risks and preventing misuse

Compliance Recording enables early detection and prevention of fraud through transparent documentation.

Meeting global and local standards

Compliance Recording ensures adherence to regulations such as MiFID II (2025), FCA, PCI DSS, Dodd-Frank, and GDPR for audits and legal security.

More than just recording

The use of AI enhances the compliance solution by automating data analysis and improving the customer experience.



Do You Have Questions?

We are happy to provide further insights, clarify details, or walk you through specific use cases.



Thank You for Your Attention!