# Whitepaper

# Automated Compliance and Risk Detection

State 08/2017

We record & analyze communications

# Analytics Solution for Financial Institutions

The number of regulations in financial markets has increased dramatically, and the demand for compliant communications recording has grown accordingly. MiFID II will impact all companies and trading venues providing EU-wide financial instruments and services beyond the standard provision of shares, bonds and derivatives.

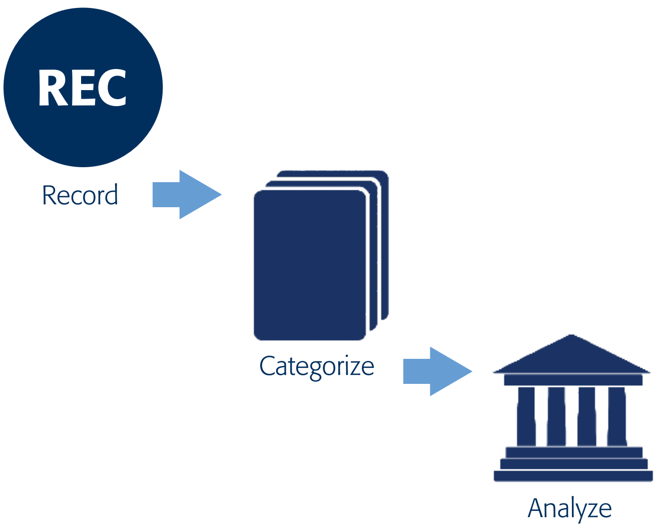
## ASC solutions ensure compliance with legal requirements:

- Comprehensive recording of all trade conversations
- Topic-based trade reconstruction
- Systematic search for aberrant behavior
- Fraud prevention/risk control
- Identification of non-compliant conversations
- Alerts regarding critical events

## How exactly does that work, and how can fines be avoided?

Compliance-relevant data are automatically extracted from all interactions to enable immediate reaction to possible breaches of financial regulations. Fraudulent or risky calls can be detected, countermeasures can be taken, and imminent losses can be avoided.

- All interactions are checked for compliance with legal regulations, e. g., MiFID II
- Recorded conversations are available on demand at any time
- Communications are analyzed completely to adhere to legal guidelines and avoid severe fines




## Data is recorded and analyzed, and critical issues are reported.

### Record

- Mobile phone communications
- Corporate communications (telephony and chat) via Microsoft Skype for Business, Cisco, Mitel, Unify and other leading communications technology providers
- Trade calls via tradeboards of BT, IP Trade, IPC and Unify
- Video counseling of buyers
- Screen activities of employees

### Categorize

Every day, an enormous volume of unstructured data with critical information is generated. Structuring and analyzing this data manually is too cost-intensive and time consuming. For this reason, the categorization of all communications is automated to answer the following questions:

- Have the compliance requirements and specifications been fulfilled?
- Has the customer been provided with all relevant information during the call?
- Do the calls include risky topics?

### Analyze

Does the frequency or the context of certain topics indicate a risk?

- Which applications are running, and which tasks are improperly handled?
- Are workflows monitored, and are compliance infringements identified?

### Measurements/Results

- Automated alerts of compliance breaches
- Easy reconstruction of trade interactions on demand
- Content search to identify non-compliant calls or fraudulent incidents
- Fast reaction to avoid fraud and penalties

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