

AI Policy Engine Maximum Transparency for Compliance with AI

Expand **Recording Insights** for proactive compliance and efficient processes





Compliance and Efficiency with the **AI Policy Engine**

Elevate compliance from minimum requirements to proactive risk management

Simply recording conversations meets legal standards but doesn't prevent compliance risks. AI fills this gap, detecting violations, fraud, and policy breaches in real-time. Take full control of your compliance processes with the AI Policy Engine.

Key Benefits of the AI Policy Engine

- ✓ Complete Compliance Overview
- ✓ Risk Detection
- ✓ Regulatory Adherence
- ✓ Efficiency Boost



Why Manual Audits can Expose your Business to Compliance Hazards

In today's highly regulated financial industry, customer communications is a vital and sensitive aspect of doing business. However, many companies operating in regulated markets face risks and challenges in managing and analyzing their communication data.

Recording conversations is mandatory for the financial industry. However, **due to the limited capacity of compliance managers, only a small percentage of calls can be reviewed**. This highlights the need for more efficient compliance measures to reduce the risk of undetected breaches.

The need for automation to manage compliance



150

agents in calls
for ø 4 h per day.



138,000 h

of conversation
per year.



1.33 %

can be checked on average
by one compliance
manager.



Regulated industries need automated solutions to effectively manage their communications data and prevent compliance breaches. With AI data analytics, that's possible.

AI Policy Engine powered by Azure

Enabling Compliance and Turning Data Into Business Value With Azure AI Services and Azure OpenAI



Compliance Monitoring

Monitoring compliance with internal and external requirements.



Automatic Categorization

Automatically categorize all communications according to their compliance relevance.



Keyword Spotting

Automatic search and display of keywords and adherence phrases.



Transcription and Translation

Document conversations with automatic transcription and translation into 100+ languages.



AI Policy Templates

Ready-to-use policies to implement compliance regulations such as MiFID II, FCA, and Dodd-Frank.



Fraud Detection and Risk Alerting

AI-powered detection of potential fraudulent behavior or threats, even in real-time.



Dashboards and Reporting

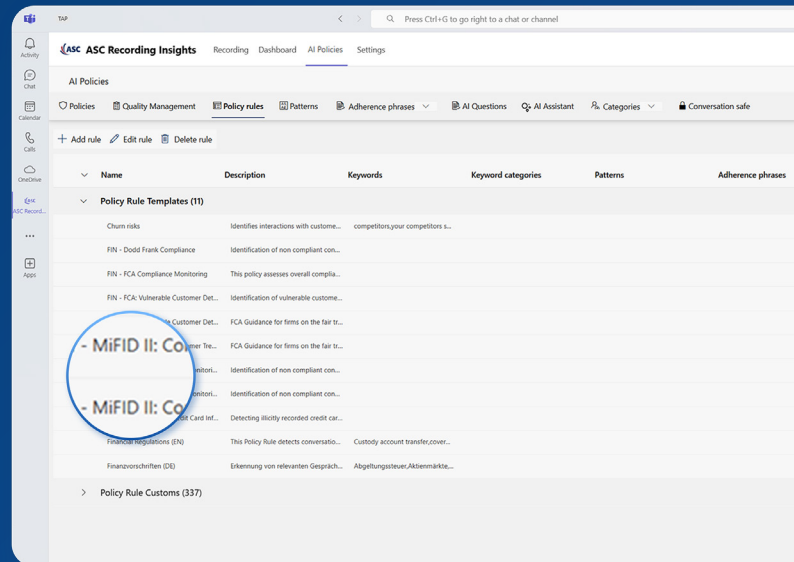
Dashboards with customized reporting and analysis.

AI Policy Templates for Finance Needs

In Recording Insights, the AI Policy Engine offers preconfigured AI policy templates that are specifically tailored to the requirements of banks and financial institutions.

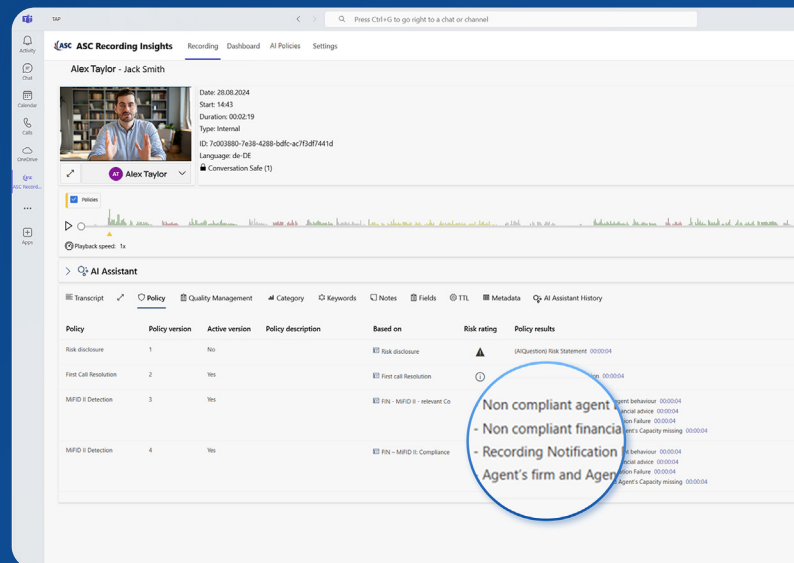
Preconfigured and based on current laws

- ✓ Ready-to-use compliance templates for MiFID II, FCA & Dodd-Frank.
- ✓ Regular updates in the event of changes to legal provisions.



Compliance Check

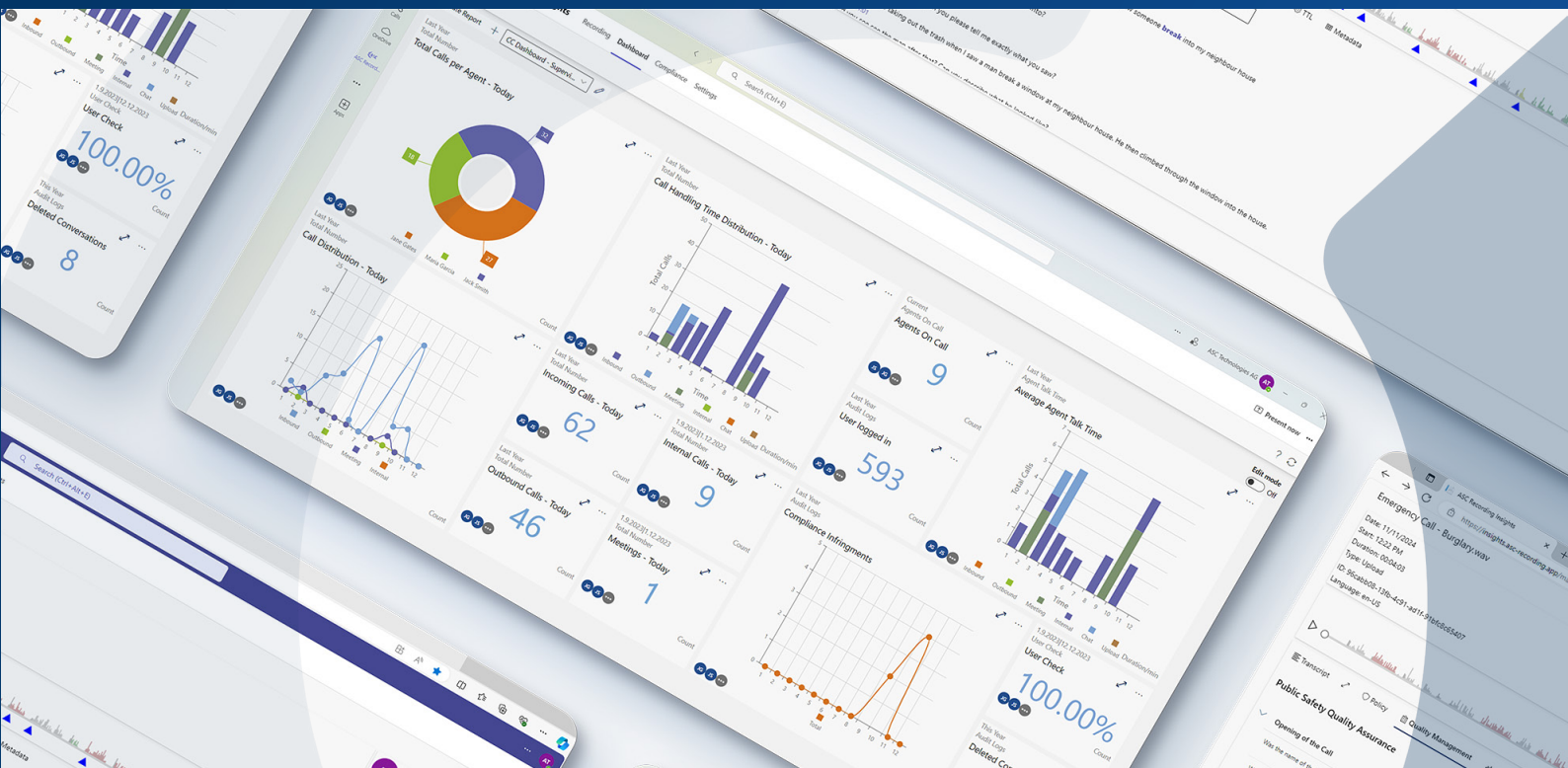
- ✓ AI automatically monitors every Teams conversation - without exception.
- ✓ Monitors in real-time and gives indications of possible violations – no delays, no uncertainties.



Ready to see the AI Policy Engine in action?

Start Your **30-Day Free Trial**
or **Book a Demo Today.**

BOOK NOW



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 15 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.