



Case Study

Swiss Private Bank Identifies Rogue Operators & Compliance Breaches with Dubber

IDENTITY OF CUSTOMER WITHHELD FOR PRIVACY

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CWSI

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For the privacy and security of our client, we have not named them in this case study.

Overview

One of Switzerland's largest private banks required a secure and compliant solution that enabled the proactive recording, capture and analysis of mobile phone calls between financial advisers, traders and clients.

The Private Bank's Chief Risk Officer (CRO) says the business had efficiency issues. **"We used to have an extremely manual process of listening to recorded calls to identify breaches"**.

The bank had an imperative to mitigate against potential surveillance breaches, whilst maintaining employee productivity, aligned with positive customer experience. **"Any compliance breaches had the potential to leave us open to regulatory fines"**, they said.

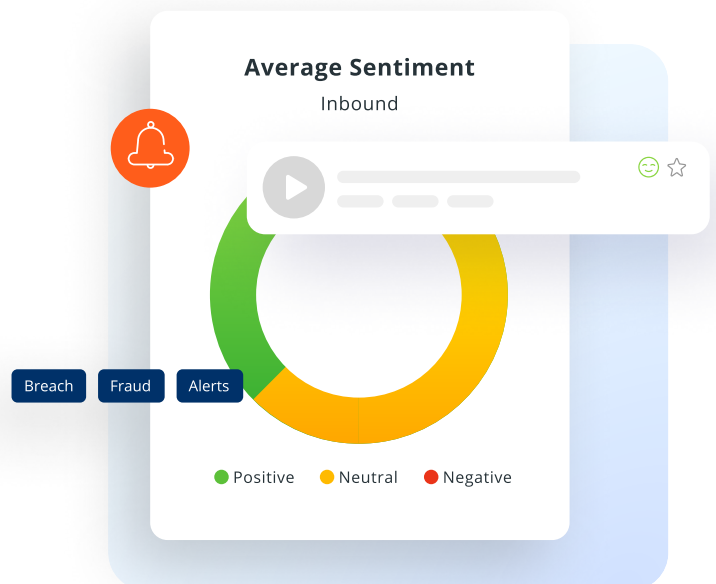
The Swiss Private Bank had a recording system in place, but staff wasted huge amounts of time locating, manually transcribing and analysing phone calls.

The customer selected Dubber to record and transcribe mobile phone calls and messages, with the real-time search function allowing them to save time on filtering and finding specific compliance issues. The solution also enabled a more positive customer experience, driving employee culture through an AI driven sentiment and tonal analysis engine of every customer interaction.

Once installed the CRO said the team instantly became more efficient. They said, **"The time and costs saved with Dubber, along with the compliance benefits have gone beyond expectations"**.

The Swiss Private Bank is now recording and automatically transcribing calls in six languages and has since implemented Dubber Voice AI to enhance proactive compliance. Dubber automatically detects the language being spoken during the first few seconds of the call.

Alerts and notifications for keywords and phrases spoken in client conversations have provided the Bank with an additional layer of security leaving them confident that breaches will be identified immediately.





The Challenge

- Manual and in-efficient process of listening to recorded calls and messages between wealth managers and clients
- Their legacy system recorded calls, but the lack of a search function meant users couldn't locate specific phone calls, meaning breaches could be missed
- No automated transcriptions - their manual workaround was slow, ad-hoc and expensive

The Solution

- Dubber Unified Call Recording to deployed enable call and message capture
- Real-time search and auto-transcriptions allows users to easily locate specific calls and conversations in seconds
- Proactive surveillance for the identification of rogue operator conversations with alerts and notifications on keywords such as "You should buy...", or suggesting the call continue on a non recorded communication platform
- Auto language technology, transcription of six languages with sentiment and tonal analysis, transforming unstructured communications data into actionable intelligence that drive business insight

The Results

- ✓ **Meet Compliance Requirements**
 - 100% visibility of wealth manager-client conversations
 - Better enforcement of surveillance and risk management protocols
 - Immediate escalation of potential compliance breaches
- ✓ **More Efficient**
 - Replaced manual listening and transcription process
 - Sentiment and tone analysis of all calls, improving customer experience and managing employee culture
- ✓ **Surveillance**
 - Proactive alerts of keywords from recorded calls
- ✓ **ROI**
 - 100s of thousands saved in manual transcription costs

“We now have total visibility of all our traders' conversations, even when they're working from home. The automated surveillance means we can immediately identify compliance breaches, reduce risk, and save time and money”

Chief Risk Officer

One of Switzerland's Largest Private Banks



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