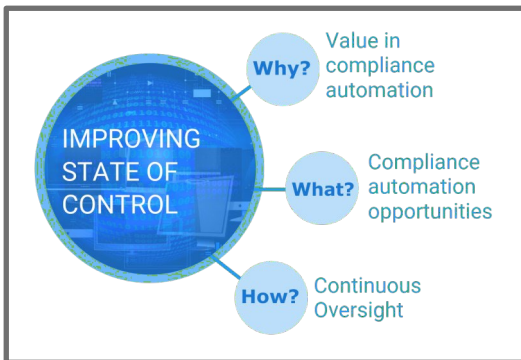


# Efficiency, Effectiveness & Control Through Compliance Automation

RegTech will continue to be prominent in the regulatory compliance landscape for 2020 and beyond as a means to help you improve your state of control. Learn about the benefits in doing so, areas we think automation makes the most sense, and actions that must be made on your RegTech journey.



## WHY

### Value in Compliance Automation

#### Data Depth and Quality

- Increasing access to and retention of data elements to reduce dark spots while improving data consistency

#### Resource Savings & Optimization

- Reducing resource needs and allowing for redeployment to more value-added activities
- Reducing time needed for client onboarding

#### Insight and Visualization

- Improving data quality to drive a depth of insight and reporting not possible today

#### Expanded Coverage

- Expanded coverage of compliance testing and monitoring.

## WHAT

### Compliance Automation Opportunities

#### Visualization and Click-Throughs

- Building robust dashboards and click-through data objects to visualize the micro-process compliance outcomes

#### Workflow Management & Decision Making

- Optimizing workflows by gaining discrete views of process decision points and outcomes while offering comprehensive coverage and insights

#### Comprehensive Views

- Using a consistent, highly defined set of visualizations to deliver confidence in the current state of compliance and operational readiness that accommodates change

#### KYC & AML Alert Investigations

- Using AI and Machine Learning to perform first pass investigation of potential sanctions and other AML hits
- Helping to connect data found in disparate systems

#### Internal and External Reporting

- Gathering information from multiple sources, validating it, formatting it, and delivering it to different recipients

## HOW

### Start With Strong Oversight

#### Risk Governance & Testing

- Clear assignment of roles and responsibilities
- Defined management and oversight routines
- Documented policies and procedures
- Active model governance and oversight including constant, targeted testing

#### Change & Issues Management

- Formal approval routines for the deployment and modification of automation tools
- Comprehensive tracking, escalation and remediation of issues stemming from automated tools

#### Resources & Technical Training

- Sufficient blend of in-depth business, compliance and IT knowledge and expertise
- Strong training programs to accommodate developments in RegTech innovation and digital disruption

#### Infrastructure & Availability

- Strong IT infrastructure and risk framework

Bridgeforce can help you be successful on your compliance journey. From strength testing your current oversight program to transformations and systems upgrades, our experts leverage decades of lessons learned to every project, including yours.

Email [impact@bridgeforce.com](mailto:impact@bridgeforce.com) or call **484-207-0573**.