

Opportunities for financial services institutions (FSIs) to leverage RegTech for compliance:

1

### Technology-enabled process efficiencies

#### Robotic process automation (RPA)

Leveraging rules-based systems to automate repeatable, logic-based business processes, such as checking internal compliance controls for organizations.

#### Intelligent automation

Using cognitive technologies to build self-learning systems for automating intuitive tasks, such as compliance investigations processing, data extraction, and quality control.

2

### Data sharing and aggregation

#### Regulatory data sharing

Managing compliance requirements by allowing organizations to share proprietary data with business partners and alliances over a secure network.

#### Regulatory data aggregation

Accessing alternate datasets, comprised of structured and unstructured information, aggregated from multiple sources, to make identity verification and compliance more accurate and efficient.

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### Data-driven insights generation

#### Real-time data monitoring and anomaly detection

Monitoring structured and unstructured compliance data in real-time for various purposes, such as identifying possibilities of non-compliance and detecting threat of money laundering.

#### AI/advanced analytics-enabled prediction of risks

Analyzing entity data and behavior for predicting regulatory and compliance risks. Allows organizations to mitigate risks proactively and address their compliance requirements.

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### Platform development

#### Compliance over cloud

Offering easy-to-adopt, flexible compliance solutions on cloud-hosted platforms to enable businesses to address compliance issues at lower costs.

#### Blockchain-based platforms for compliance

Creating immutable, agreed-upon, aggregated, and efficient compliance records for processes, such as AML/KYC and transaction reporting.

#### On-demand compliance expertise

Providing easy access to specialized skills for assisting FSIs with their regulatory and compliance requirements.