



Regulatory Knowledge Automation, Explained

How AI-Driven Regulatory Management Helps Financial Firms Get Actionable Insights from Raw Regulatory Data

Every day in the world of regulatory compliance management, compliance teams undergo the painstaking process of creating valuable *knowledge* from raw regulatory text.

Status Quo Process

MANUAL REGULATORY ANALYSIS

Compliance workers continually read and analyze a nonstop deluge of regulatory reports to identify which obligations or requirements the firm must adhere to.



MANUAL MAPPING TO POLICIES, PROCEDURES AND CONTROLS

Compliance workers manually create connections between their regulatory obligations to internal policies, procedures and controls.



MANUAL REGULATORY CHANGE MANAGEMENT

Compliance workers monitor the regulatory horizon for rule amendments and additions that may need to be incorporated into the firm's understanding of what it must do to stay in compliance.



THIS PROCESS IS...

- TIME-CONSUMING
- ERROR-PRONE
- EXPENSIVE



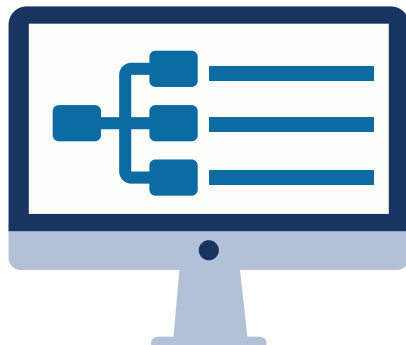
Regulatory Knowledge Automation, a technology pioneered by Ascent, uses machine learning and natural language processing to complete this same process much faster and more accurately.

Knowledge Automation Process



AUTOMATED REGULATORY OBLIGATIONS

Algorithms, which are trained by compliance experts, continuously analyze regulatory text and generate a firm's regulatory obligations. These obligations are *granular*, meaning they are detailed down to the line level of regulation. This output is also validated by experts.



AUTOMATED MAPPING TO POLICIES, PROCEDURES AND CONTROLS

A firm's obligations (and any changes to those obligations) can be seamlessly connected to a firm's policies, procedures and controls with the rule number as an anchor point. This is possible due to the granularity of the data.



AUTOMATED REGULATORY CHANGE MANAGEMENT

As rule amendments and additions are published, a firm's obligations are automatically updated for human review.

THIS PROCESS IS...

- HIGHLY EFFICIENT
- MORE ACCURATE
- COST-EFFECTIVE

