ARTIFICIAL INTELLIGENCE – COMPLIANCE

Compliance and internal control require adapted tools to face technological evolutions. The objective of these new tools is to allow financial institutions to put in place suitable systems to mitigate the risk of non-compliance (AML/TF, fight against fraud, internal control) and to meet regulatory expectations by optimising resources.

In that regard, Regulation Partners has put in place algorithms using techniques of Machine Learning, in order in the first instance to automate analyses of regulatory texts in the context of the offer of regulatory watch and also for other projects related to the filing of false AML/TF alerts or of automated KYC controls, and also the automation of other compliance controls.

THE OFFERS

Regulation Partners can help :
- To set up IA tools to optimise the **processes and systems of compliance and internal control**.
- Formalise and support its clients for the implementation of the **governance of IA tools and also the development of tools**

THE OBJECTIVES

- **Optimise** the compliance processes and the control systems
- Automate **KYC processes**
- Allow the clients to **increase their capacity of control** (number and volume).
- Ensure the proper functionning of the algorithm (governance of the algorithm).

A SPECIFIC ORGANISATION

- A subsidiary dedicated to innovation **Regulation Partners Innovation S.L.U.**
- An **IA pole** made up of *Data Scientists*, dedicated to the development of **compliance tools**.
- A collaboration with IAE Paris Sorbonne and CNRS, in the context of a research project on the application of IA to the optimization of AML/TF controls and its impact on the risks of financial institutions.
- Conduct of conferences and working groups on the impact of IA in the financial sector.

EXAMPLE OF KYC AUTOMATION

Our automation methodology

1 – **Detection of the identity document**

2 – **Data extraction**

3 – **Verification of the validity**

of the the identity document

4 – **Data integration**

THE OBJECTIVES

- Simplify the complexity of KYC checks
- Verify the identity and the whole file of the customers in a **very short time**
- Cover a wider scope of checks
- Improving the **quality** of checks and the **reliability** of KYC records

CONTACT

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