

# GET TO KNOW REGTECH

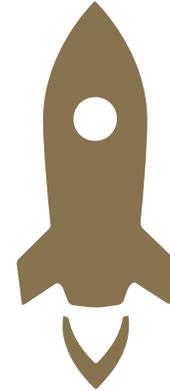
How technology can make your regulatory compliance life easier

## REGTECH DEFINED

A combination of “regulatory” and “technology,” regtech applies innovative technology to regulatory challenges and cost facing the financial services sector.

**Deloitte:** Regtech’s intentions are to deliver “nimble, configurable, easy to integrate reliable secure and cost-effective” regulatory solutions.

**Financial Conduct Authority (FCA):** The “adoption of new technologies to facilitate the delivery of regulatory requirements.”



Emerged in 2015  
and  
on the rapid rise

## WORD ON THE STREET



## REGTECH BENEFITS

“I would define it as technological advancement that assists those focused on compliance and regulatory-related activities in their professions. So making it easier, swifter, more complete, more efficient to monitor compliance and regulatory obligations.”

- **Kari Larsen,**  
Counsel at Reed Smith LLP in New York  
Formerly in the Enforcement Division of the  
Commodity Futures Trading Commission (Bloomberg BNA)



## WORTH THE INVESTMENT

Not sure on an ROI? Ask yourself this:

“What if that RegTech solution could prevent our company from receiving a \$60,000,000 fine or from dealing with a regulatory issue involving multi-year global remediation requiring \$10,000,000 in consulting fees?”

- John Humphries  
Forbes Finance Council



## WHEN CAN YOU USE IT?

Throughout compliance!

- **Before:** Prepare for potential issues by identifying risk
- **During:** Identify and prevent non-complaint conduct
- **After:** Investigate and create audit trails / logs



## WHO'S USING IT?

A joint survey by SWIFT and Dow Jones Risk & Compliance revealed that anti-money laundering (AML) professionals are anticipating new risks and challenges.

“More than half (54%) of respondents are planning to increase their investment in RegTech in the next three to five years, as the majority (59%) say **technology has improved their company’s ability to tackle AML, KYC and sanctions requirements.**”

-Dow Jones Press Room



**CONTACT US TO GET TO KNOW MORE ABOUT REGTECH.**

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