

RegTech & Compliance Automation

Compliance technology strategy, workflow automation, regulatory intelligence, controls, surveillance, case management, reporting, evidence, and operating-model advisory.

CORE SIGNAL

RegTech succeeds when automation strengthens regulatory judgment, data integrity, control evidence, and accountable action - not when it merely moves manual work into a new interface.



THE MANDATE

Why This Practice Matters

Compliance functions need technology that turns obligations into executable workflows, prioritizes risk, connects evidence, reduces low-value manual effort, and improves management visibility.

EXECUTIVE QUESTIONS

- 1 Which compliance decisions can be standardized or automated without weakening judgment and accountability?
- 2 Are alerts and controls targeted to meaningful risk, or optimized around volume and completion?
- 3 Can obligations, policies, controls, tests, issues, evidence, and remediation be traced in one model?
- 4 How will rule, model, threshold, and workflow changes be validated, approved, monitored, and explained?

WHO WE SUPPORT

Compliance and legal functions

Financial-crime and surveillance teams

Operational and enterprise risk

Regulatory reporting organizations

RegTech firms and platform owners

FINANCIAL-SERVICES TECHNOLOGY

ENTERPRISE ADVISORY

THE CAPABILITY MAP

Six Capabilities That Define the Practice

A structured view of the business, technology, data, control, and operating-model capabilities required to execute reliably.



01 Regulatory Intelligence

Capture, classify, interpret, route, assess, and track regulatory change.

02 Compliance Workflow

Automate reviews, approvals, attestations, monitoring, issues, obligations, and evidence.

03 Surveillance & Detection

Design scenarios, analytics, thresholds, alerts, cases, investigations, and tuning.

04 Control Automation

Execute preventive and detective controls using rules, data, workflow, and evidence.

05 Compliance Data & Reporting

Create governed data, metrics, lineage, dashboards, filings, and management information.

06 Governance & Human Oversight

Define ownership, escalation, rationale, validation, model risk, and accountable decisions.

THE PROBLEM LANDSCAPE

Where Institutions Lose Control

The recurring failure patterns that create operational risk, delivery friction, hidden cost, and weakened executive confidence.



01 Workflow Digitization Only

A poor process is automated without simplifying decisions, data, controls, or exception logic.

02 Alert Volume as Performance

Systems generate more alerts without improving precision, risk coverage, or investigation quality.

03 Disconnected Obligation Libraries

Regulatory content is maintained separately from policies, controls, issues, and implementation.

04 Evidence Scattered

Approvals, rationale, documents, tests, and control outcomes live across inboxes and repositories.

05 Rules Without Change Control

Thresholds and decision logic change without clear ownership, testing, approval, or impact evidence.

06 Automation Without Accountability

Users cannot determine who owns the final decision when the system recommends or executes action.

MDMI DIAGNOSTIC LENS

We examine the full compliance decision: obligation, risk, data, rule, workflow, human judgment, control result, exception, evidence, and management response.

THE ADVISORY OFFER

What MD Market Insights Delivers

Modular services that can be deployed independently or combined into a sequenced transformation program.



01

RegTech Strategy & Selection

Define priorities, capability gaps, platform landscape, vendor criteria, and implementation roadmap.

02

Compliance Workflow Automation

Redesign intake, review, approval, attestation, issue, evidence, and escalation processes.

03

Surveillance & Monitoring Transformation

Improve scenarios, segmentation, data, tuning, alert triage, case workflow, and MI.

04

Obligation & Control Platforms

Connect regulation, policy, risk, controls, tests, issues, actions, and evidence.

05

Compliance Data & Analytics

Establish critical data, lineage, quality, dashboards, reporting, and risk-based prioritization.

06

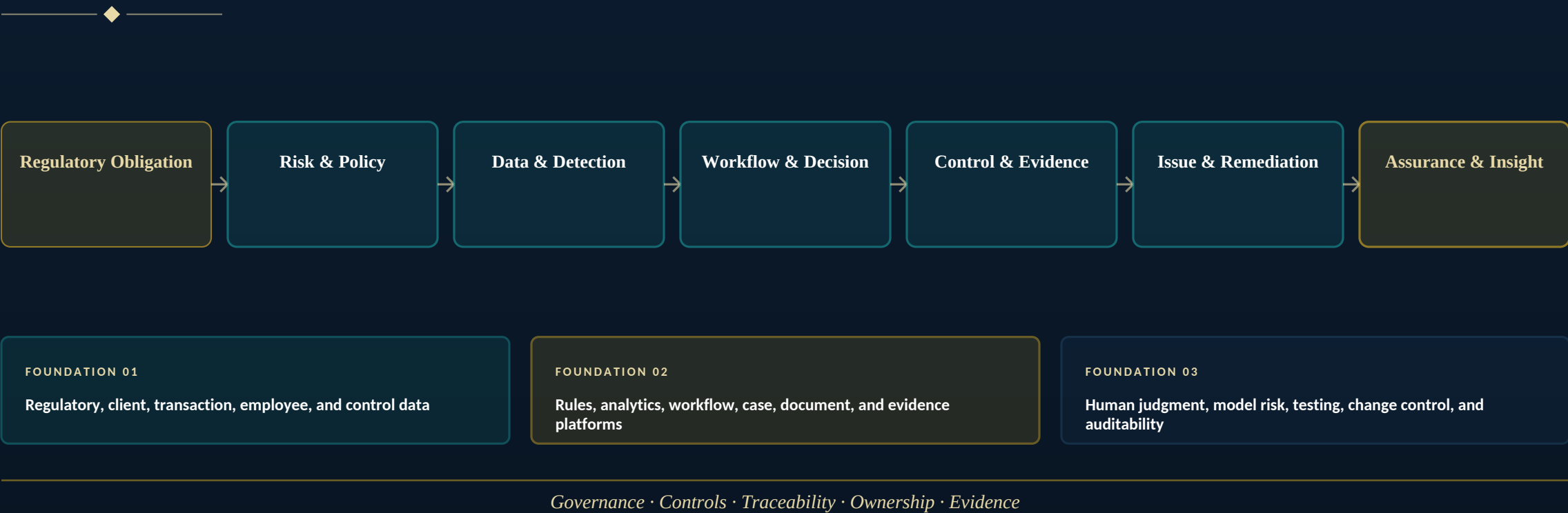
AI-Enabled Compliance Design

Apply AI to research, triage, investigation, documentation, and monitoring with controlled oversight.

THE SYSTEM VIEW

From Strategy to Controlled Execution

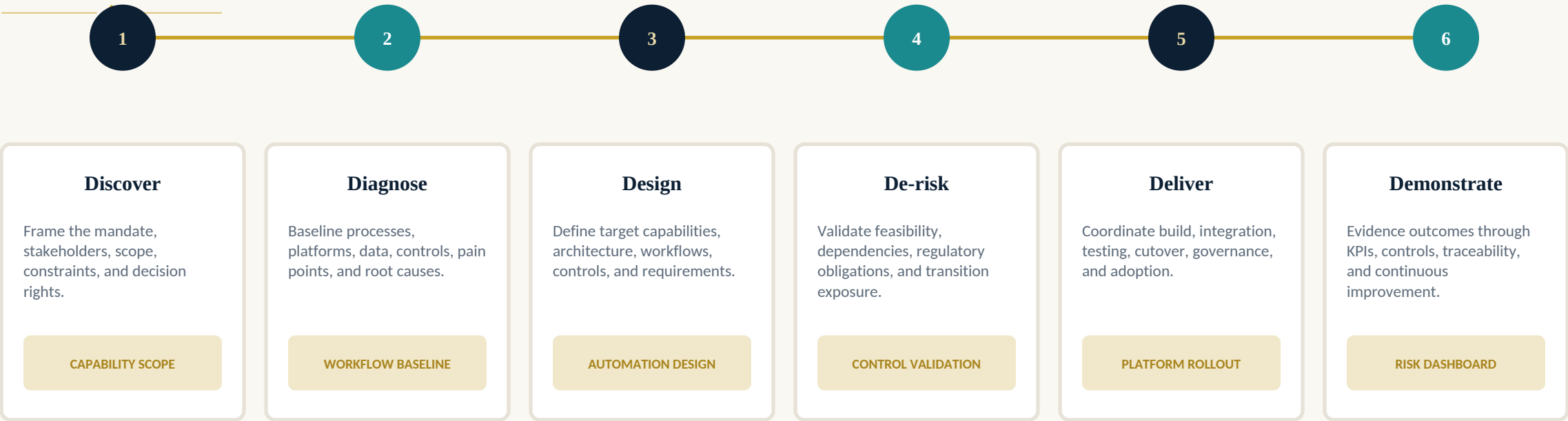
The practice is designed as an end-to-end system: decisions, workflows, platforms, data, controls, and outcomes must operate as one chain.



THE MDMI METHOD

A Six-Phase Path from Ambition to Adoption

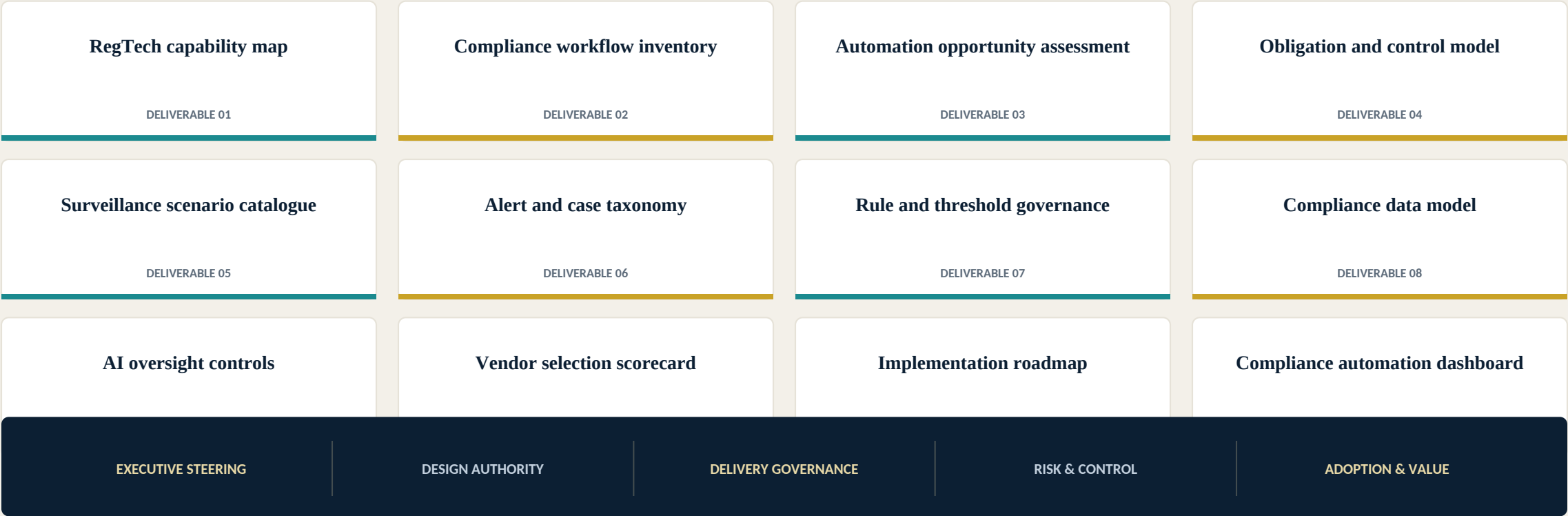
A disciplined method that converts executive intent into implementable decisions, tested capabilities, operational readiness, and measurable value.



THE WORK PRODUCT

Decision-Grade Artifacts, Not Shelfware

Every artifact is designed to drive a decision, control execution, transfer knowledge, or evidence an outcome.



THE VALUE CASE

Representative Use Cases and Success Measures

Illustrative applications showing how the practice converts complex institutional problems into controlled, measurable



01

Regulatory Change Automation

Route publications, assess impact, assign ownership, track implementation, and retain evidence.

02

Surveillance Alert Optimization

Improve detection coverage and precision through data repair, segmentation, tuning, workflow, and feedback.

03

Control Evidence Platform

Automate execution, certification, testing, evidence collection, exception routing, and issue linkage.

04

Compliance Investigation Copilot

Assist with evidence retrieval, chronology, typology context, rationale drafting, and quality review.

SUCCESS MEASURES

Manual effort removed

Alert precision

Investigation cycle time

Control completion rate

Evidence retrieval time

Regulatory change cycle

Issue recurrence

Compliance cost per case

BUILD THE NEXT MOVE

Turn Complex Change into Controlled Execution.

MD Market Insights helps compliance organizations automate intelligently - joining regulatory understanding with process, data, control, platform, AI, and operating-model design.

OPTION 01

Diagnostic Sprint

Rapid baseline, critical risks, priority decisions, and a sequenced action plan.

OPTION 02

Advisory Workstream

Focused design or delivery support for a defined capability, platform, or control domain.

OPTION 03

Transformation Partner

End-to-end support from strategy and architecture through implementation and adoption.

