



yexle

Driven by Innovation,
Committed to Quality

AI Obligation

Regulatory | Compliance | Workflow | Automation

Ensuring Compliance in the Age of AI: Yexle's Governance, Risk, and Compliance Solutions

AI Obligations

Consumer Duty

Regulatory Filings

AML Case Handling

Model Risk

External Audits

Overview

Yexle's Governance, Risk, and Compliance (GRC) package, built on the powerful Appian enterprise low code platform, offers comprehensive solutions tailored for the FS&I industry. Developed with insights from our FS&I customers, our GRC package ensures robust, accurate, and auditable processes to meet regulatory requirements from UK, EU and North American regulators.

Business Challenges

- **Regulatory Pressures:** Financial services face growing regulatory demands with new AI-related regulations emerging in the next 6-36 months.
- **Cumulative Compliance Requirements:** These new rules add to existing ones such as the UK Consumer Duty, EU Consumer Rights Directive, AML, and fraud reporting.
- **Compliance Challenges:** Managing these overlapping regulations creates significant compliance challenges.
- **Risk of Non-Compliance:** Failing to comply can result in substantial fines.
- **Need for Effective Processes:** Essential to have robust governance, risk management, and compliance processes in place to navigate these challenges effectively.

Features

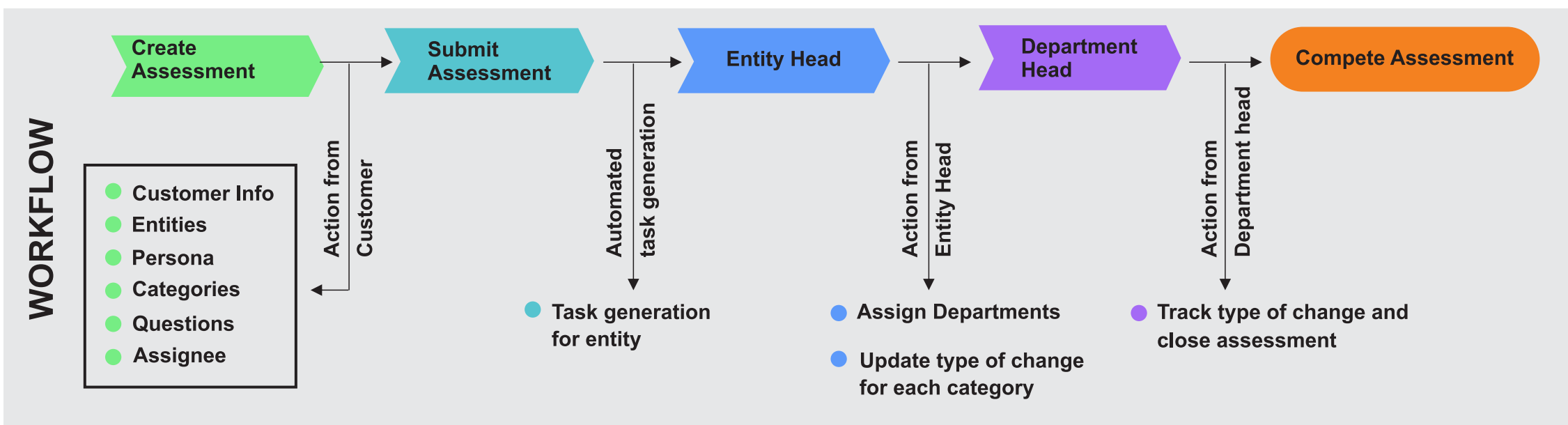
- **Customer-Centric Development:** Solutions developed with real-world insights from FS&I clients, ensuring practical and effective compliance management.
- **Pre-Built and Configurable Frameworks:** A blend of out-of-the-box solutions and customizable frameworks for seamless compliance.
- **Process Orchestration Tools:** Optimize products to meet the needs of multi-region/multi-jurisdiction entities.
- **Best Practice Integration:** Standardize internal and external reporting and governance.
- **Fully Managed Process Flows:** Handle specific event-driven cases like suspicious payment activity and AML breaches.
- **Comprehensive Compliance Coverage:** Features include external document capture, hierarchical authorization models, and a 'cradle to grave' audit function.

Areas of Usage

- **AI Regulatory Compliance:** Solutions for AI regulatory obligations, ensuring accurate and efficient validation of technology use.
- **Regulatory Filings and Reporting:** Support for regulatory filings, AML failures, suspicious activity case management, Consumer Duty, and Regulatory Whistleblowing.
- **Multi-Jurisdiction Support:** Flexibility to support various regulatory frameworks within a single entity, including local state regulations in the US and Canada, and hybrid country/EU regulations across Europe.
- **Operational and Risk Processes:** Implement common solutions across multiple teams and disciplines for standardized governance functions.

Benefits:

- **Operational Efficiency:** Streamline governance and risk management processes, reducing administrative costs and improving business performance.
- **Enhanced Visibility and Reporting:** Improve internal and external compliance reporting for better oversight.
- **Risk Mitigation:** Minimize the risk of regulatory fines through thorough compliance checks. Support multiple regulatory frameworks across the UK and EU.
- **Configurable and Scalable:** Utilizing the Appian platform, these solutions are customizable, ensuring continuous compliance and adaptability to evolving regulations.
- **Future Proofing:** Adapt to new regulations with scalable solutions, ensuring long-term compliance.



Yexle + Appian for FS&I

In addition to the GRC package, Yexle, in partnership with Appian, offers a broad range of solutions for the FS&I sector, including:

- Onboarding & Origination
- Customer & Client Servicing
- Claims & Underwriting
- Financial Crime

