

Lexalytics for Regulatory Compliance

SEMI-CUSTOM SEARCH APPLICATION

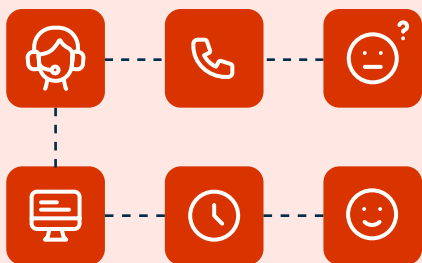


Figure 1 | Lexalytics semi-custom search application helps Biogen's Medical Information Department maintain compliance while improving customer care and lowering costs.

Lower Your Costs and Risk

The challenges involved in regulatory compliance vary greatly between industries, countries and companies. But many compliance tools lack flexibility or are missing key technologies for parsing complex structures in legal, medical and financial documents.

Lexalytics helps you tackle compliance challenges involving text data through **"semi-custom" solutions**. We combine semi-structured data parsing, natural language processing (NLP) and machine learning with other features and technology suited to your specific problems. By working from our existing infrastructure through a staged **Proof of Concept**, we reduce your initial investment and deliver tangible results more quickly.

We don't "solve" or automate your entire industry. Instead, we help you improve existing compliance processes and scale your compliance teams more easily, resulting in **lower costs** and **reduced risk** across your organization.

TECHNOLOGY TOOLKIT

Natural Language Processing Features

✓ Sentiment Analysis

✓ Entity Recognition

✓ Categorization

✓ Theme Analysis

✓ Intention Extraction

✓ Summarization



Semi-Structured Data Parsing



Machine Learning



Add-Ons and Integrations



INDUSTRY EXPERTISE

Healthcare

Biotechnology

Pharmaceuticals

Financial Services

And more...

Financial Services Case Study

An Australian financial services firm needed help ensuring their compliance with federal disclosure mandates across hundreds of Statement of Advice (SoA) documents. Before, the firm's auditors manually reviewed a subset, but this process was slow and unreliable.

Lexalytics focused on **improving the firm's existing audit process**. First, we trained our semi-structured data parser to understand the underlying structure of SoAs. Then we configured our NLP to identify, extract and analyze entities within each section. Finally, we built a connector to structure and export this data into an easy-to-scan spreadsheet.

This solution substantially reduces the firm's non-compliance risk by **empowering compliance auditors** to review hundreds of documents in minutes. Now they can quickly and reliably spot missing disclosures, suspicious recommendations, and other areas where advisors may not be working in their clients' best interests.

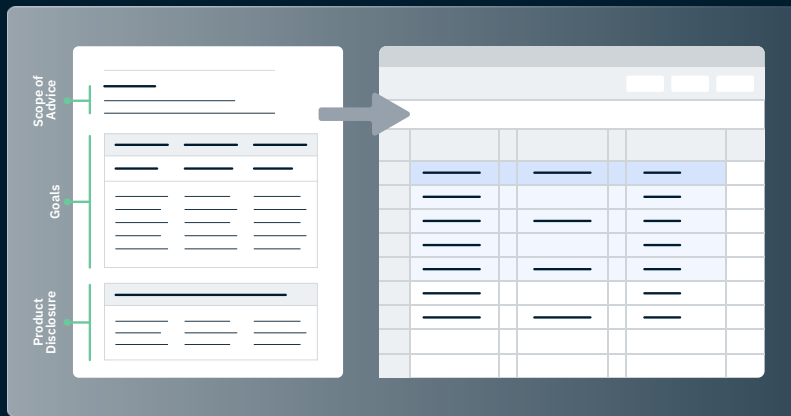


Figure 2 | Lexalytics solution for financial services disclosure compliance identifies, analyzes and structures key data from Statement of Advice documents for internal review.

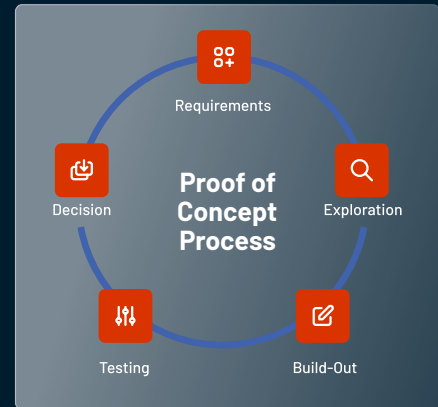


Figure 3 | We use a staged Proof of Concept process to quickly demonstrate viability and showcase value while staying agile throughout the project.

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