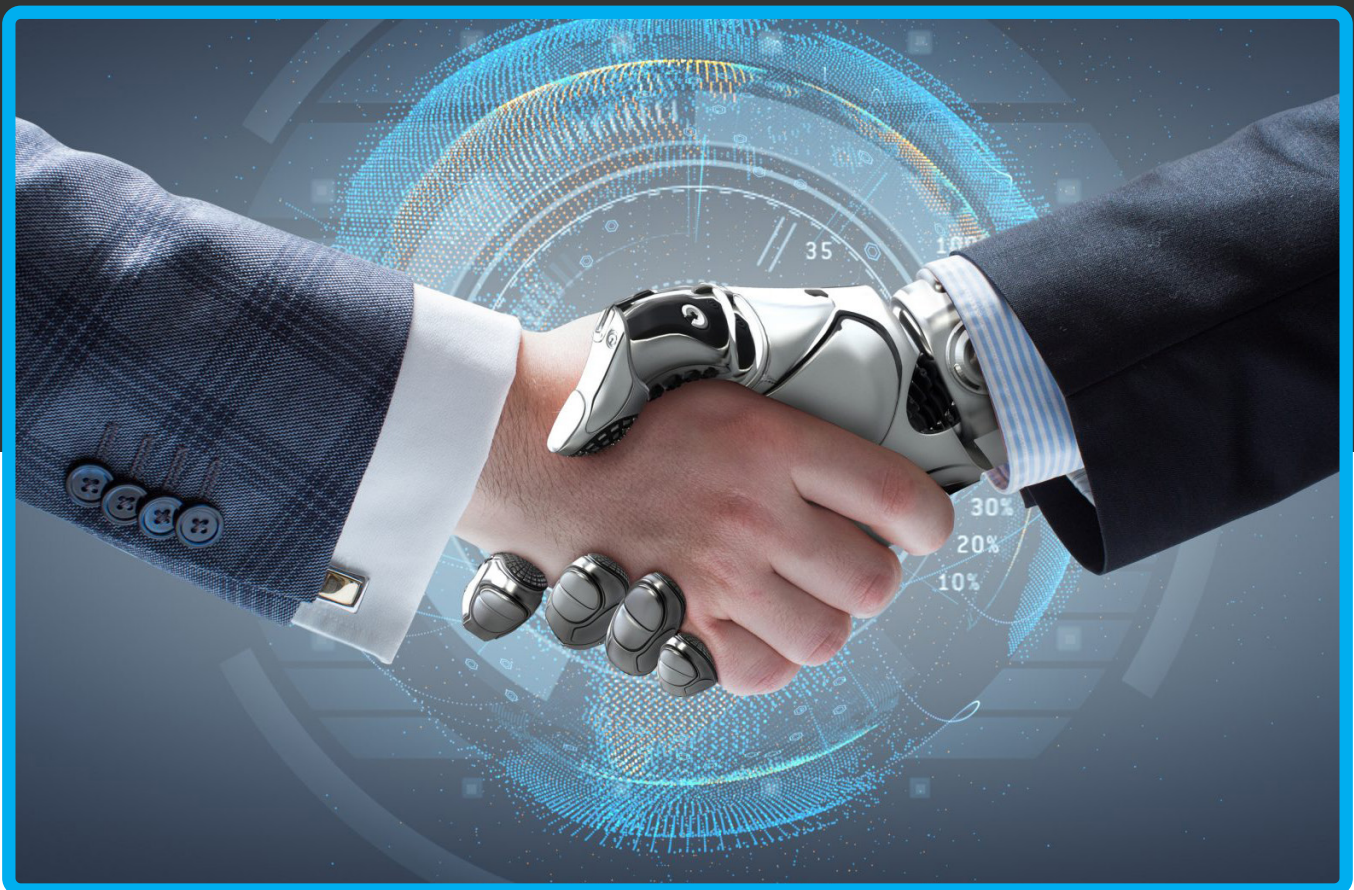




# A PRACTICAL GUIDE TO REACHING THE REGULATORY PROMISED LAND

SQLPOWERGROUP.COM

Learn how Financial Supervisors can eliminate the need for future software investments while leveraging the power of innovative technology to transform and future-proof their jurisdictions for decades to come.





## ***ABOUT SQL POWER***

Founded in 1989, SQL Power Group Inc. is a global application software firm specializing in Financial Regulation, Digital Transformation, and Advanced Analytics.

SQL Power is at the forefront of regulatory software innovation – rolling out the world's first fully-integrated XBRL-based data collection, risk management, case management, and advanced analytics solution in 2009. The platform integrates easily with existing regulators' legacy systems and evolves seamlessly alongside changes to Global Financial Standards and customer needs.



## ***REFERENCES***

Cambridge SupTech Lab (2022). Cambridge State of SupTech Report 2022. Available at: <https://lab.ccaf.io/state-of-suptech-report/>

SQL Power Group (2022). Live webinar: A Practical Guide to Reaching the Financial Regulatory Promised Land. Available at: <https://sqlpower.ac-page.com/live-webinar-recording-oct27>



# **CONTENTS**

Today's Regulatory Landscape	4
Barriers to Effective Supervision	6
Simplify & Streamline	11
Wouldn't It Be Nice	11
How to Achieve Effective Supervision	12
SQL Power Suite: The Most Comprehensive SupTech Solution	14
Integration Hub Facility	16
Automated Data Collection	17
360-Degree (KYC) View	17
Business User Self-Sufficiency	18
Advanced Analytics & AI	19
Easy Automation of Key Regulatory Functions	20
SQL Power vs. Other Regulatory Solution Providers	25
Roadmap to Reaching the Financial Regulatory Promised Land	26



## ***TODAY'S REGULATORY LANDSCAPE!***

Today's financial regulators are experiencing unprecedented pressure to expand and enhance their supervisory functions, due to:

- Increasing need for additional oversight functions
- Ongoing changes to policies and legislations
- Evolving global standards and IMF best practices
- Increased volumes and frequency of regulated entities submissions

Exposing the need for a more comprehensive and robust SupTech platform that can handle the evolving requirements and the ever-increasing volumes.



**Increased  
Oversight  
Functions**



**Changes in  
Policies and  
Legislation**



**Ever-Evolving  
Global  
Standards**



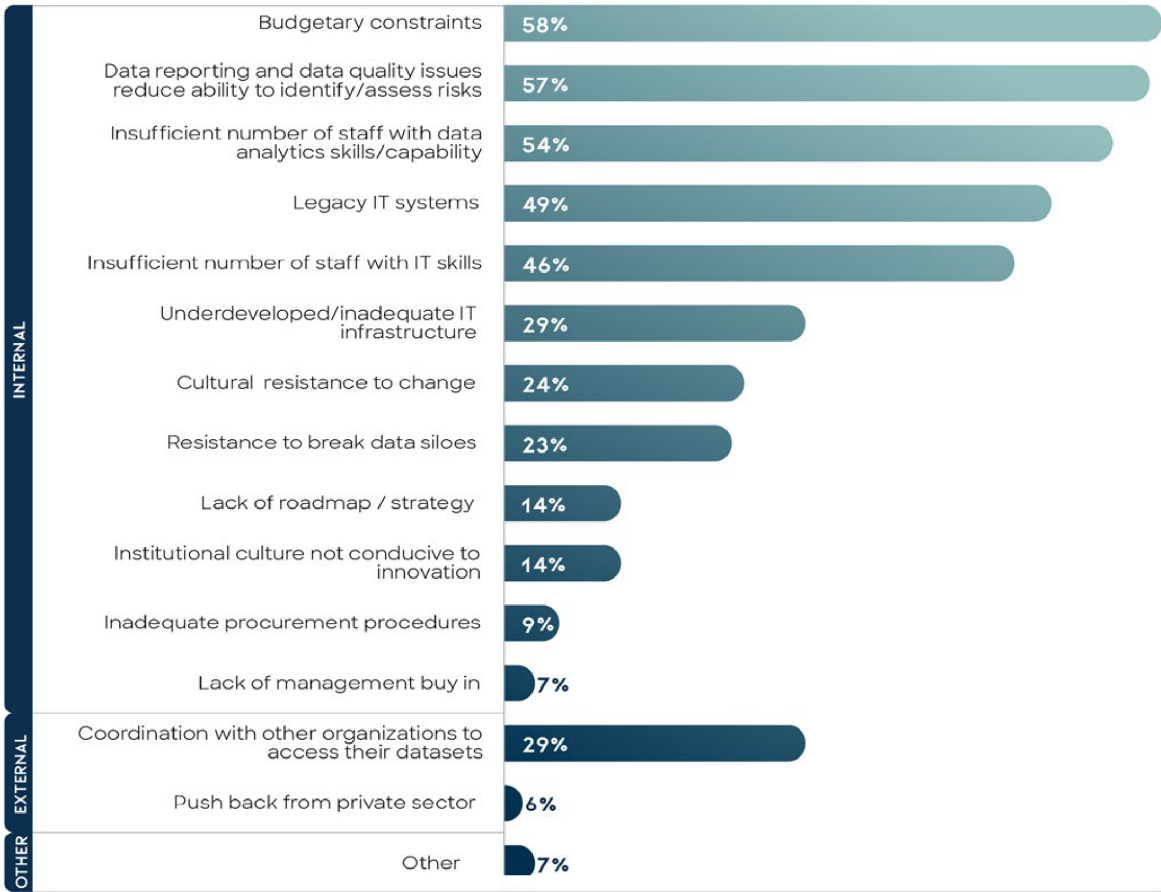
**Increased Number  
of Regulated  
Entities**



While the adoption of SupTech solutions has been steadily increasing over the years, nothing accelerated the need for SupTech adoption more than the Covid-19 pandemic. This necessitated the urgency for regulators to digitally transform in order to provide remote supervisory services.

However, a recent report published by the Cambridge SupTech Lab (The State of SupTech Report 2022) found the following significant challenges to SupTech adoption based on feedback from 146 financial authorities.

**CHALLENGES FACED BY FINANCIAL AUTHORITIES IN DEVELOPING SUPTECH, GROUPED BY INTERNAL AND EXTERNAL FACTORS (N=95)**



CAMBRIDGE SUPTECH LAB  
STATE OF SUPTECH REPORT 2022

# ***BARRIERS TO EFFECTIVE SUPERVISION***

Whilst the need to digitally transform in order to effectively perform necessary supervisory functions is at the top of the list of internal challenges, regulators are still constrained year over year by

- Limited resources
- An overly complex regulatory environment
- Budgetary constraints, and
- Competing priorities.

This leaves regulators with limited capacity to implement critical oversight functions or enhance their regulatory infrastructure.

## **Regulators Worldwide are being constrained by**



**Limited  
Resources**



**Complex  
Environment**



**Budgetary  
Constraints**



**Competing  
Priorities**

# ***BARRIERS TO EFFECTIVE SUPERVISION***

## ***Limited Resources***

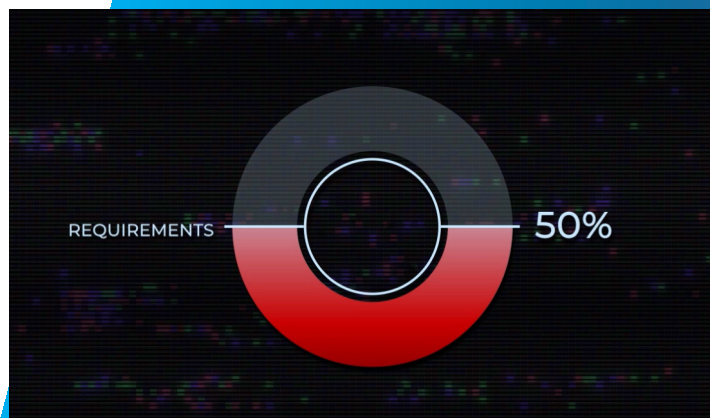
With the global need for tech talent growing, competition for technical resources has never been greater. As a result, regulators are compelled to manage their jurisdictions with only 30 to 50% of the necessary resources required to meet the oversight demands.

**30-50%**  
OF REQUIRED TECH  
RESOURCES AVAILABLE



## ***BARRIERS TO EFFECTIVE SUPERVISION*** ***An Overly Complex Regulatory Environment***

Worst of all, those systems met requirements the day they were implemented but **now only meet 50% of current needs** and making changes to those custom-coded, stand-alone systems requires a significant effort by **scarce technical resources** or a significant **outlay of cash** for the vendor to make those changes for you.



## ***BARRIERS TO EFFECTIVE SUPERVISION*** ***Budgetary Constraints***

Irrespective of whether those legacy systems are home-grown or purchased making annual changes to meet evolving regulatory requirements either **requires**

- » **the doubling of technical resources**
- » **or, the doubling of the annual operating budget**

Neither of which is practical within the required timelines!

So regulators end up **prioritizing changes: choosing the most critical** while suffering with the other broken or insufficient regulatory processes for yet another year or two

Leaving that jurisdiction exposed to potential market abuse or failure by bad actors.



# **BARRIERS TO EFFECTIVE SUPERVISION**

## **Competing Priorities**

Over the past few years, regulators started the year with a significant backlog of business requirements that needed to be urgently addressed. But as you tackled these projects, you also had to navigate a pandemic, climate disasters, lower staff productivity and to complicate matters, some key resources left your organization.

So you ended the year with less productive resources and an even larger backlog of Supervisory requirements than what you started the year with!

With new leadership, come new ideas, new initiatives and more requirements - But the budget has been already set, and you still have open head counts, and by the time you hire and get the new people up to speed half the year is gone.

**So you're likely to once again end the year with:**

- Less trained resources to tackle the backlog
- Less time and money to evaluate/purchase new solutions
- A larger backlog of critical supervisory functions



# ***REGULATORS WORLDWIDE ARE LOOKING FOR A CIRCUIT BREAKER!***

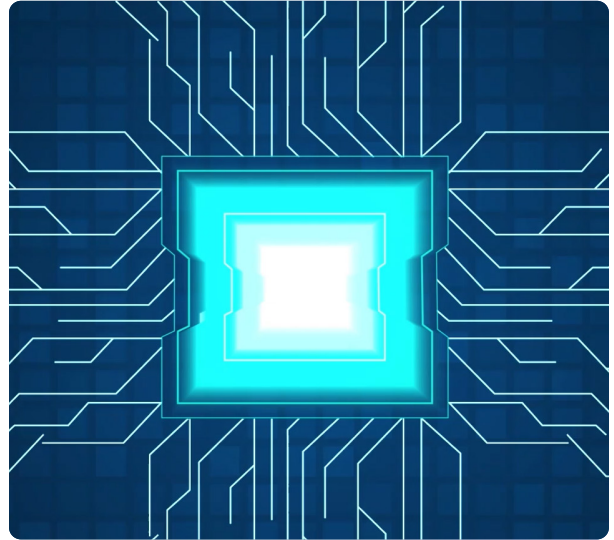
Regulators worldwide are looking for a circuit breaker or new pathways for more efficient and effective financial regulation.

## **Your options are:**

1. Delay certain implementations (until you can find and hire specialized tech resources)
  - effectively delaying the achievement of specific regulatory objectives.

**OR** 

2. Simplify and Streamline your regulatory environments enabling your current set of technical resources to do much more each year.



## SIMPLIFY & STREAMLINE

The key to overcoming these all-too-common industry challenges is to strategically **simplify the technical environment** and **reduce the dependencies on scarce technical resources**.

Allowing business users to make simple changes to the regulatory environment without needing to convey basic requirements and evolving regulatory changes to third parties.

**Wouldn't it be nice if you could:**

- Integrate all your regulatory systems
- Improve your oversight functions
- Have real-time access to critical analytics

**While:**

- Lowering annual costs
- Lowering your dependency on scarce technical resources

## WOULDN'T IT BE NICE



If you could quickly reflect regulatory or policy changes in days or weeks?



If you could have a consolidated view of all submissions within a single platform irrespective of their origin or source?



If you could automate any required regulatory process within days, make changes to license applications and data collection forms in hours, test them and roll them out to production (in under a week) all within your business unit?



If you can access real-time alerts, analytics reports, and dashboards within seconds of an industry event or submission?



If you can have an instant and comprehensive view of every regulated entity?

# EFFECTIVE SUPERVISION

## End-to-End Automation

The proliferation of FinTech and new technologies are reshaping future regulatory and supervisory objectives, accelerating the need to focus heavily on the adoption of an effective oversight solution. Choosing a powerful and robust SupTech platform will give regulators the key to overcoming these challenges by arming them with advanced tools to monitor and oversee major financial regulatory objectives. Ultimately, a purpose-built supervisory solution uniquely positions regulators to achieve their objectives and reach the regulatory promised land.

Implementing a comprehensive low-code/no-code SupTech solution will:

1. Strategically simplify and consolidate the technical environment
2. Allow you to easily configure and automate all required regulatory oversight functions in weeks/months
3. Put Business Users in the driver seat
  - Allowing them to easily evolve the regulatory solution based on the latest business requirements and needs
4. Provide regulated entities with a single interface for all interactions with their regulatory body.





# **Effective Supervision requires Full Integration & End-to-End Automation**

Implementing a comprehensive SupTech solution, can help you **automate** what's currently manual, **fix** what's broken, while **easily integrating** with all your existing legacy **systems that continue to work!**

Providing your Regulatory Organization with:

- Case Management capabilities
- Tailored Registrations & Licensing functions
- Financial Data Collection capabilities
- Payment Processing & Electronic Signatures
- Form Letters & Certificate Generation
- Risk Assessment & Onsite Examinations
- AML/CTF Detection & Enforcement
- Dynamic Integration with All Legacy Systems
- An Instant Data Warehouse & Real-time Analytics
- An end-to-end solution that easily evolves with your changing needs



## **EMPOWERING YOUR REGULATORY ORGANIZATION**

With an easy-to-use, drag & drop Designer facility, users with no coding experience can have the tools to quickly react to changing policies, legislation, standards, and best practices. Thus freeing up scarce technical resources to focus on highly technical tasks.

**A Low-Code/No-Code SupTech solution** can be configured by business users to deliver all the required online form changes and to automate all required business processes.

**Best of all**, a highly configurable SupTech solution allows power users to make significant business process and forms changes without the risk breaking the software or shutting down the production environment.

# SQL POWER SUITE: THE MOST COMPREHENSIVE AND ROBUST FINANCIAL REGULATORY PLATFORM IN THE WORLD

The SQL Power Suite is the most robust and compelling regulatory solution on the market, delivering the ultimate in regulator flexibility, self-sufficiency, efficiency and transparency increasing the likelihood of timely successful intervention while providing all interested parties with the ultimate confidence in the regulated market.

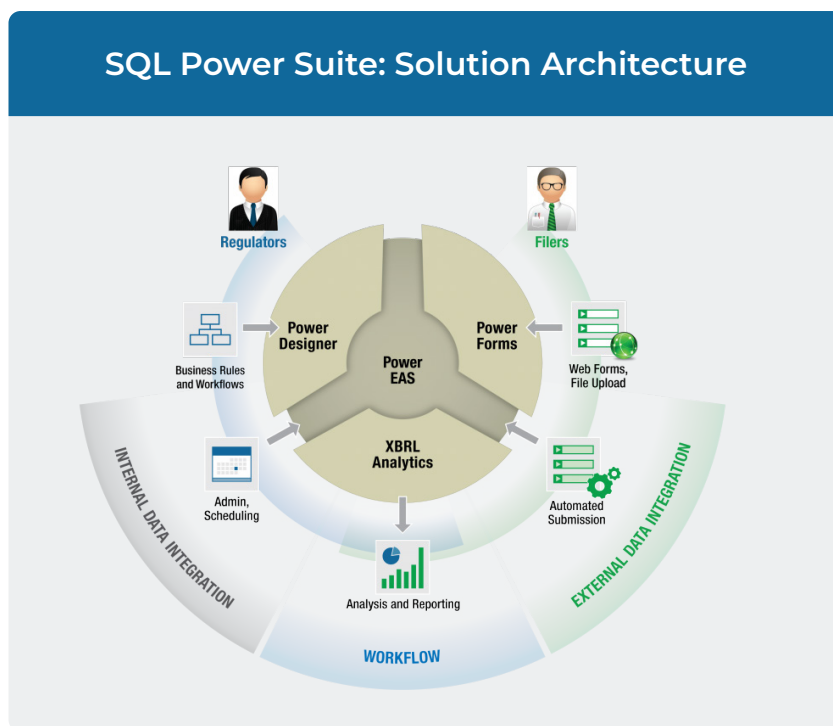
Built for Financial Regulators for the express purpose of simplifying and automating every aspect of Financial Supervision, SQL Power utilizes our highly configurable platform to automate all requests, license application processes, renewals, financial returns, payment collection, and all investigations through an easy-to-use web portal. Effectively paving the way for future regulatory changes. Thus future-proofing any organization and ensuring that it will satisfy ongoing SupTech requirements for decades to come.

## Power Designer

Power Designer is a rules-based, meta-data driven GUI design facility that gives the business user complete control over data collection, workflows, and validation specifications. Simplifying Taxonomy Design and allowing regulators to roll-out complex data collection templates and workflows in days rather than months.

## Power EAS

Power EAS integrates the components of the SQL Power Suite with powerful web portal technology and single sign-on (SSO) capability that can be tied to an existing identity management system. EAS provides a secure platform that implements top ten OWASP-recommended security practices. The Power EAS is the suite's web portal that manages the entire end-user experience from system administration to submission of financial returns,



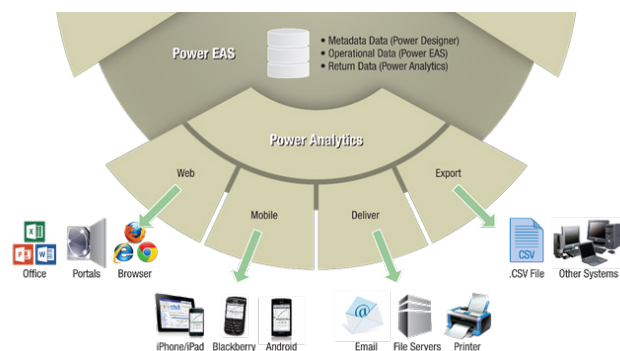
change requests, and license applications, as well as review and approval/ rejection of all submissions.

## Power Forms

Power Forms provides an easy-to-use, web-based front end for users to input, upload, and submit license applications and financial reports; allowing users to verify the validity and completeness of their submission. Power Forms is integrated with the XBRL Processing Engine, providing real-time validation functionality prior to end-user submission.

## Power Analytics

Power Analytics bundles SQL Power's proven ETL technology with pre-built MicroStrategy reports, graphs and dashboards (including mobile versions) to deliver business intelligence value starting day one. Once validation and certification of submissions is complete, the submitted data is loaded into the



Power Analytics database.

SQL Power's real-time Power Analytics platform is the most powerful Regulatory Business Intelligence (BI) platform on the market delivering a pre-built data mart solution that is Taxonomy agnostic (no ETL changes required) and a BI tool in

MicroStrategy that provides all Business Intelligence requirements including standard reports, ROLAP cubes, Data Mining, Mobile Dashboards, and ad-hoc reporting.

The proposed new reporting environment will provide the regulator with a centralized analytics database for ad-hoc as well as highly structured reporting. Pre-engineered Power Analytics for analytical and statistical reporting against regulatory information, as well as reporting on system usage, turn-around times, and bottlenecks come prebuilt. It is capable of generating financial ratios, peer group analysis, multi-dimensionality, trend and root cause analysis, and other important risk management KPIs. Mechanisms to manage captured data from multiple sources and to generate industry and sectoral reports for internal/external dissemination, and report distribution across stakeholder entities is also supported.

SQL Power's regulatory platform also offers the lowest Total Cost of Ownership (TCO) on the market. Being business-rule driven and having the business users in the driver's seat, eliminates ongoing IT and consulting costs associated with evolving, maintaining, and supporting the regulatory system. Our pre-built real-time Analytics platform comes bundled with MicroStrategy (the world's leading BI tool) eliminating the need to buy expensive software for the Business Intelligence platform. Finally, since the system is virtually turn-key (with no need for any code changes), SQL Power is providing the most stable, and maintenance-free, production environment

# INTEGRATION HUB FACILITY

SQL Power's Integration Hub facility raises the bar on most SupTech platforms by providing supervisory organizations the added ability to seamlessly integrate with all existing legacy systems.

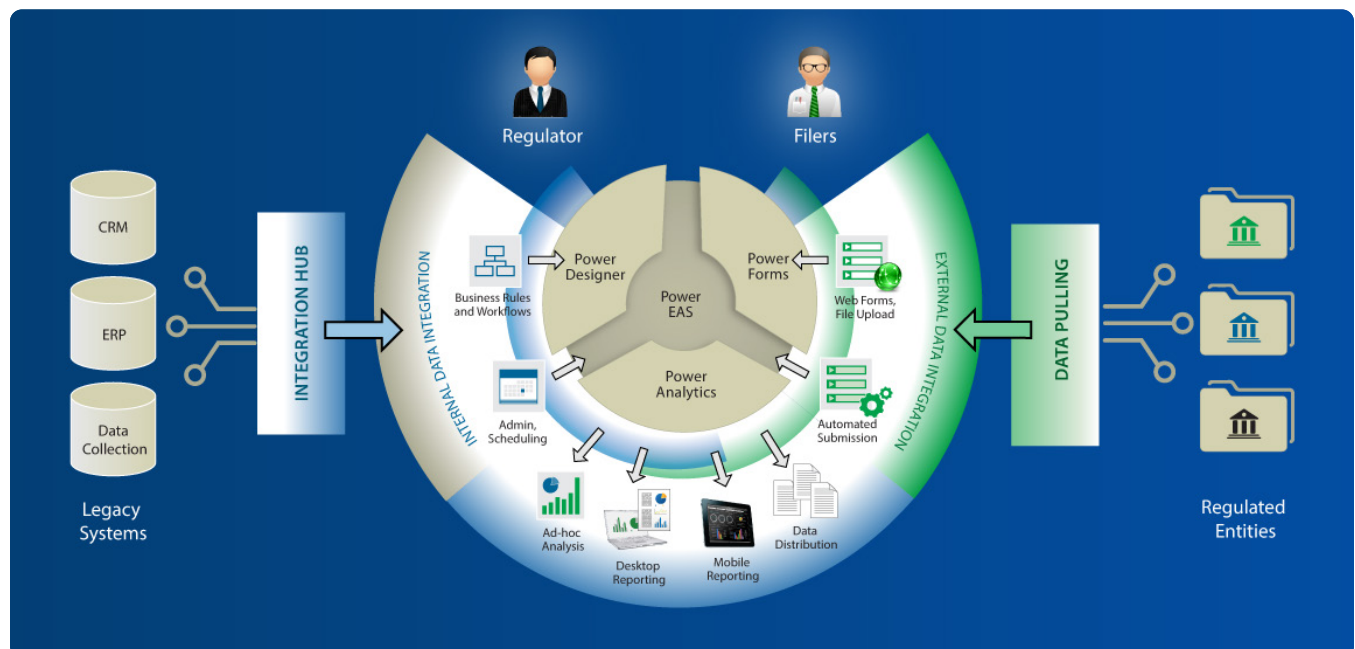
Consolidating all collected data from the various disparate sources into one centralized web portal and one centralized analytics database.

**Virtually eliminating the data silos that were accumulated over the years.**

SQL Power's Integration Hub and Data Pulling facility allow Financial Supervisors to quickly implement a complete end-to-end SupTech solution, automating what's currently manual, and fixing what's broken, while easily integrating with all your existing legacy systems that work!

SQL Power's Integration Hub facility provides regulatory organizations with the following unprecedented benefits:

1. Ability to continue operating legacy systems, while seamlessly making all their data available in a consolidated Web Portal for real-time review and analysis.
2. Ability to augment the 360-Degree Organization profile view with data currently being collected in legacy systems (CRM, Registry data, legacy financial data collection systems).
3. Ability to build an instant Data Warehouse that can be refreshed hourly from all legacy sources – while eliminating the need to build data migration processes.





# AUTOMATED DATA COLLECTION

Financial Regulation, risk mitigation, and offsite monitoring rely heavily on high-quality data collection. SupTech solutions can help automate, simplify and bullet-proof every aspect of data collection.

A highly configurable SupTech solution will allow business users to configure financial returns, make all required changes to meet local and global standards.

Effectively launching a financial disclosure platform that enables real-time analysis of key performance indicators while eliminating the need for manual reviews, rejections and resubmissions.



# 360-DEGREE KNOW YOUR CUSTOMER PROFILE VIEW

Organization Profiles are automatically updated whenever the system receives a submission whether it is a license application/renewal, a financial submission, a change request, or an Onsite Inspection final report, providing all internal users with an instant and comprehensive view of every regulated entity and person of interest.

Thus providing an up-to-date 360-degree view and insights into every regulated entity within your jurisdiction.



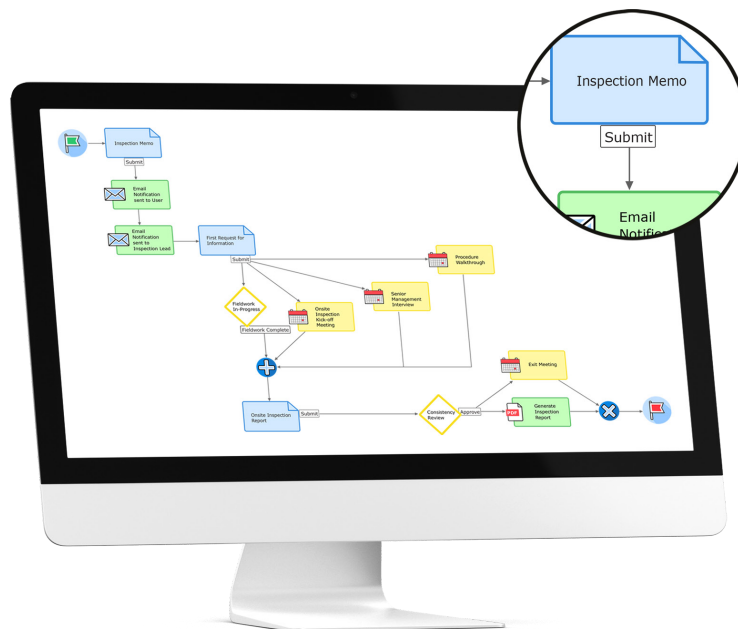
# **BUSINESS USER SELF-SUFFICIENCY**

## **Low-Code/No-Code Designer Facility**

A **low-code/no-code drag & drop** SupTech Designer facility – allows business users to easily configure your organizations data collection and process workflow needs in order to reflect the most recent policy, legislative or global standards – reducing the dependency on IT and outside consultants for ongoing system changes.

This intuitive SupTech tool will help you achieve the following:

1. Allow business users to configure their business process needs using an easy-to-use case management tool
2. Allows business users to design online forms and data collection forms internally in an accelerated manner
3. Allow business users to easily add meeting tasks, payment tasks, electronic signatures, form letters, certificates, automated decisions, and ad-hoc tasks to any business process.
4. Make it possible for business users to make and test their forms and process changes internally in minutes/hours, instead of weeks/months.



# ADVANCED ANALYTICS & AI



Artificial Intelligence is the Science of machine learning from History!

"It is the science of making machines use data to gain insight, draw correlations, establish inference, now reserved for humans, and improve themselves to solve all kinds of problems."

Gain insight to make smart decisions, identify bottlenecks, and discover opportunities for regulatory process improvements. Key financial ratios are assessed in real-time against submitted data providing analysts with early-warning in-line analytics.

The system also learns from historic data to derive reliable predictive models that are then used to mine recently collected data to provide early predictions of potential undesirable outcomes, and provide you with the opportunity for early intervention to address any issue well before an institution's failure - circumventing the impact on the public and maintaining confidence in the regulated market by all stakeholders.

## REAL-TIME ANALYTICS

Bundled within the SQL Power suite is a Real-time Analytics platform that provides regulators with actionable insights on all data collected from supervised entities - providing business users with real-time reports, alerts and Dashboards highlighting critical performance and risk-based metrics within the same centralized portal.



# EASY AUTOMATION OF ALL REGULATORY FUNCTIONS



## REGISTRATION, LICENSING & RENEWALS

SQL Power uses a powerful and robust data collection and analytics platform to seamlessly automate the core processes for business registrations and licensing across a spectrum of financial sectors.

Through the convenience of simplified online forms, sophisticated business process workflows, electronic signatures, payment collection, and certificate generation modules, SQL Power significantly reduces the manual workload typically associated with the registration and licensing processes, while easily integrating with existing legacy systems for a seamless transition and immediate end-to-end automation of all required registration and licensing functions.

Provisions may also vary between jurisdictions and may differ depending on the type of license the applicant is seeking. Our solution is designed based on international standards and best practices but can be easily modified to meet the exact requirements of your organization based on the types of licenses and applications you provide.

## QUALITY & PROACTIVE FINANCIAL DATA COLLECTION

SQL Power automates and simplifies every aspect of data collection, ensuring that only complete, consistent, and accurate data are ever submitted to the regulator

In a matter of weeks, we can replicate existing financial returns in our online Forms facility, make all required changes to meet current standards, add any missing validation rules and roll them out to your regulated entities. Effectively launching a system-wide standard and an automated web-forms-based reporting platform that virtually eliminates the need for manual reviews, rejections and resubmissions.

The interactive online form facility is embedded with business rules, assertions, and formulas that appear as values are filled in. It highlights validation rules and warnings to minimize calculation errors or missing information in real-time as information is entered, ensuring that only complete, consistent, and accurate data is ever submitted to the regulator.

Within seconds of an industry submission, the system quickly assesses its adherence to predefined acceptable thresholds for key risk metrics and highlights any weak submissions - prioritizing scarce resources' work and focusing them on likely problematic submissions.







## ONSITE EXAMINATION & OFFSITE MONITORING

SQL Power offers supervisory teams a web-based solution to automate and manage every aspect of their regulatory onsite examination processes and functions, providing a consolidated view of all relevant regulatory data within a single risk-based supervision platform.

This dynamic platform increases the inspection team's efficiency by automating and delegating mundane tasks, while also providing inspection teams with the flexibility to define and assign additional tasks, based on findings, at every stage of the investigation.

Supervisors and assigned Team Leads can supervise and manage various aspects of an onsite examination including: the creation and management of an inspection team, task management, user assignment, due date assignment, ad-hoc task creation and much more functionality out of the box.

The solution comes with pre-built onsite examination process templates, designed based on international guidelines and best practices. Jurisdiction and division-specific inspection workflows can be configured by our experienced consultants, to meet the exact needs of your organization's inspection teams.

## 360-DEGREE (KYC) ORGANIZATION & PERSON OF INTEREST PROFILE VIEWS

For years SQL Power has been providing our valued clients with 360-degree Organizational and Person views of all pertinent information related to a regulated entity and its representatives.

Organization and Person Profiles are automatically updated whenever the system receives a valid submission of a registration, license approval/renewal, financial submission, change request, or an Onsite Inspection final report. The SQL Power Organizational and Person profile views dynamically evolved with every interaction with a regulated entity providing our customers with an invaluable and comprehensive view of every regulated entity and person of interest.

Now with the Integration Hub, SQL Power can supplement all the SQL Power Suite collected data with other pertinent supplementary legacy data that may have originated in a CRM system, Call Centre, on social media, or in the News - providing our customers with an ultra-comprehensive view of all Regulated Entities and Person of Interest activities.

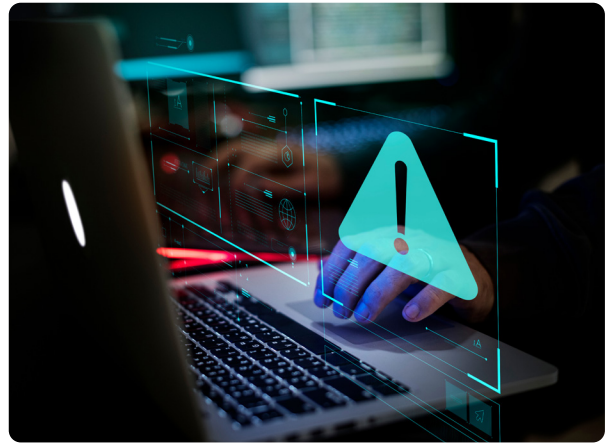


## RISK MANAGEMENT & RISK ASSESSMENT

SQL Power's pre-built Risk Management solution equips supervisors with critical risk assessment tools to empower them with better decision-making and to address risk in a systematic manner, by continuously monitoring and managing regulated entity's risk levels based on the latest submissions.

In order to satisfy the need of providing effective risk-based supervision, regulators need risk to be identified and monitored, addressed, then measured, allowing them to plan and adjust the type of filings, frequency of filings, and onsite examinations proportionate to the level of risk associated with that sector or the inspected entity.

SQL Power supports continuous monitoring and management of an entity's risk levels based on the latest submissions. Our risk management framework provides financial regulators with fully integrated risk assessment dashboards (incl. an overall Risk Assessment Dashboard as well as Financial Risk Dashboards like CAMEL and CARMEL), an onsite examination platform, a 360-degree organizational view to derive the comprehensive risk-rating for each organization - as well as predictive modeling capabilities to identify at risk regulated entities.



### RISK ASSESSMENT FRAMEWORK

Configure your overall risk assessment dashboards with Key metrics, ratios, and other indicators that are derived in real-time based on submitted documents and onsite examinations; visualizing all risk assessment metrics at a glance from a consolidated reporting interface.

The platform comes with built-in risk categories and risk scores to provide a solid foundation in risk management and governance scores that result in a net risk score for each entity. The platform also allows other factors like external audits to adjust this rating. In addition, recovery actions, resolution actions, and the frequency of onsite examinations are also integrated within the risk guidance tab.

The Analytics platform Scorecards display the overall score for each sector and level of risk, as well as provides the breakdown of performance by asset class, peer group, and for each individual organization. Leverage our risk assessment dashboards to build a solid foundation for your team to focus on high-risk organizations for more timely interventions.

## CASE MANAGEMENT, INVESTIGATIONS & COMPLAINTS

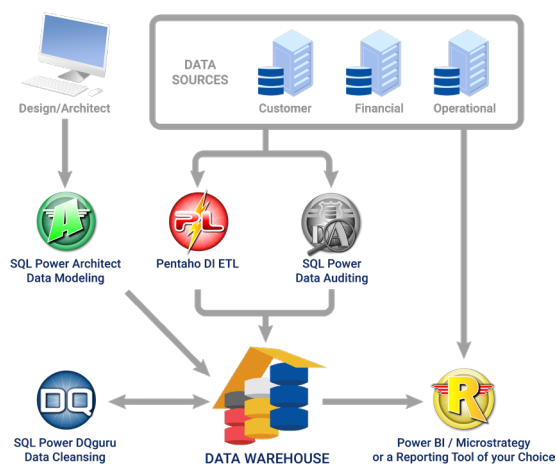
Fully automate all Change Requests and Complaint forms which upon initial review can launch investigative processes to resolve any concerns or reported issues utilizing SQL Power's comprehensive case management capabilities.

Automatically reflect any change requests in the regulated organization's latest 360-degree view. Complaint processing takes full advantage of the SQL Power Suite's comprehensive case management capabilities, allowing users to send notifications, schedule review meetings, make manual or automated decisions, assign fieldwork to investigators, prepare final reports, levy penalties or fines, collect payments, and can even accommodate appeals processes.

With automated case management capabilities, financial regulators can handle a higher volume of cases in less time, enabling them to be more responsive and proactive in addressing issues while ensuring compliance with regulatory requirements and reporting standards.



## INSTANT DATA WAREHOUSE

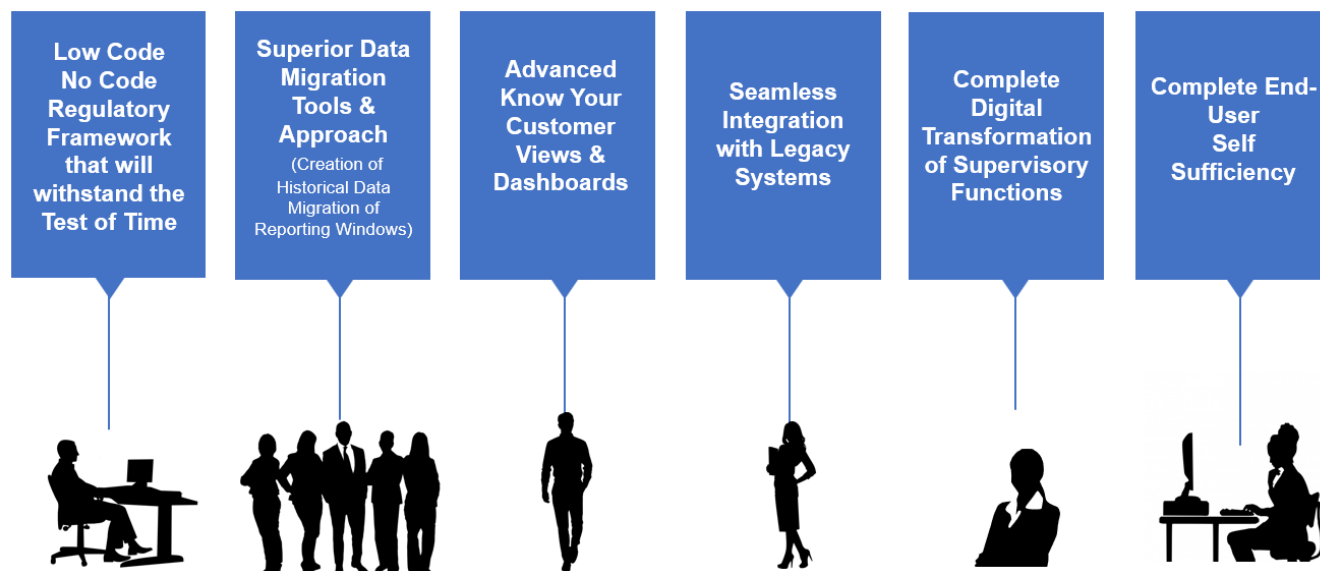


Instantly consolidate all your disparate source data and reporting needs with the SQL Power platform. Legacy source data, whether it is submitted by regulated entities or manually entered in other legacy (CRM, Call Centre or ERP) systems, can immediately be pulled into the SQL Power platform – providing a consolidated view of all relevant Regulatory data within the single Risk-based supervision platform and a consolidated Reporting environment that renders a separate Data Warehouse redundant.

Historic Legacy data (legacy data submissions) and ongoing Operational (Registry, CRM, Call Centre and/or Risk Assessment) data can be easily moved from disparate legacy systems and integrated nightly into the SQL Power platform – Eliminating the need for any custom data migration/ETL and data integration processes while providing Regulatory teams with instant access to a modern-day “Data Warehouse” for consolidated reporting and comprehensive Risk-Based Supervision.

Furthermore, all collected legacy data will instantly leverage all SQL Power standard reports, dashboards, and alerts including Organization/Person Profile Views and Inline Analytics.

# SQL POWER: A SIGNIFICANTLY SUPERIOR SUPTECH SOLUTION



## Future-Proofing your Regulatory Environment

SQL Power's SupTech platform will not only fully empower your business users, eliminate your IT resource constraints, address your current regulatory needs, and integrate easily with your existing legacy systems, but it will also **evolve easily with future regulatory requirements, thus future-proofing your organization for decades to come.**

**“Eliminating the need for future software investments.”**



Whether you are a Central Bank, a Financial Services Commission, or a Securities Exchange Commission – **the SQL Power platform is the game changer that you've been waiting for.**

It will help you catch up on your oversight functions backlog, easily evolve with your changing needs, while providing the ultimate confidence in the regulated market.



# SQL POWER VS. OTHER REGULATORY SOLUTION PROVIDERS HOW DO WE STACK UP!

BASIC FEATURES	ADVANCED FEATURES	UNIQUE TO SQL POWER
<p>Comprehensive Data Collection Platform</p> <p>Registration and Licensing Module</p> <p>Pre-validated Online Submissions (for completeness and accuracy)</p> <p>Ability to share XBRL Submissions with other Regulators</p> <p>SaaS and On-Premise Solutions</p>	<p>Built-in Business Process Workflow Engine and GUI</p> <p>Comprehensive Case Management Capabilities</p> <p>Highly Configurable Risk Management and Onsite Inspection Modules</p> <p>Pre-Built Basel II, Basel III Returns</p> <p>Business Users can easily make changes to online forms and process workflows</p> <p>Platform integrates easily with 3rd Party Applications</p> <p>Solution evolves easily with Regulator's evolving business and jurisdictional needs</p>	<p>Highly Configurable Platform (No Custom Coding)</p> <p>Easily Integrates with Legacy Systems (Integration Hub Facility)</p> <p>Easy Data Pulling from Regulated Entities Backend Databases</p> <p>Dynamic 360-degree View of Every Organization, Person, and Case</p> <p>Online Help facility including Live chat with Regulator</p> <p>Solution is Bundled with a World Class Business Intelligence Tool in MicroStrategy</p> <p>Integrated Analytics platform with Artificial Intelligence Capabilities</p> <p>Extended Warranty that includes a lifetime warranty on all system deliverables</p>





# **ROADMAP TO ACHIEVING THE FINANCIAL REGULATORY PROMISED LAND**

- 1** Compile a comprehensive list of critical oversight function backlog.
- 2** Determine which of the current legacy systems actually work and which are broken and require fixing.
- 3** Identify all the current processes within your organization that are currently manual and require automation.
- 4** Adopt a comprehensive Low-Code/No-Code Highly Configurable SupTech Solution.
- 5** Start training your business/power users on the new SupTech platform.

- 6** Have Business users use the highly configurable SupTech platform to catchup on the oversight backlog.
- 7** Of your broken processes, estimate the effort required to fix them vs replace them using the new SupTech.
- 8** Automate the currently manual processes to achieve full digital transformation.
- 9** Leverage the current legacy systems that work and build bridges between them and the new SupTech solution – thus providing a consolidated view of all submissions.
- 10** Use the Integration Hub facility to consolidate all your regulatory data into one Analytics platform for oversight monitoring, management reporting and effective risk-based supervision.
- 11** Design/Build your 360-Degree Organization Profile & Person of Interest (Know Your Customer) views, facilitating instant analysis and offsite-monitoring of every regulated entity.
- 12** Once you've automated what's manual, replaced what was once broken, take a critical look at what remaining functionality still exists in the various legacy systems that “work” and determine if it warrants all the support and maintenance costs.
- 13** If you have a Data Warehouse, determine the relative cost & effort in continuing to maintain the existing data migration routines vs sourcing all the regulatory data from the now consolidated SupTech analytics database.

*Most importantly, you're Now in complete control  
of **What, When, and How** to evolve your regulatory environment!*



**Start your journey to the Promised Land  
with SQL Power!**

[info@sqlpower.ca](mailto:info@sqlpower.ca)  
[sqlpowergroup.com](http://sqlpowergroup.com)

