



McCarthy Tétrault *Advance*™
Building Capabilities for Growth

RegTech: What It Does, What It Doesn't Do and What It Shouldn't Do

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What Is RegTech?

- Use of technology to assist with regulatory compliance – eg. AML/ KYC, regulatory reporting, fraud analysis, etc.
- Leveraging new technologies such as big data, AI and blockchain
- IBM Acquisition of Promontory Group – teaching IBM Watson regulatory compliance
- Potential for real time access by regulators to regulatory data – proactive vs. reactive regulation

Global RegTech Developments

- UK
 - FCA in 2016 issued call for input on RegTech
 - Hosted 3 TechSprints since 2016
 - Accepting RegTechs as part of its regulatory sandbox
- Australia
 - ASIC assisting RegTech businesses through its innovation hub
 - Hosted roundtable and released report on RegTech, established RegTech liaison group
- US
 - OCC Responsible Innovation consultation paper
- Singapore
 - MAS piloting national KYC utility

Canadian RegTech Developments

- OSC RegHackTO and white paper
- AMF partnership with R3, participation in hackathon
- BCSC participation in RegTech hackathon



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VigilantCS

COMPLIANCE STREAMLINED

VCSOpen: Automate Staff Compliance



VCSPro: Understand Staff Behaviour



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Securefact

Creating Trusted Relationships in a Digital World



Technology Developed
Alongside GRC Experts

Focused on Canadian
Regulatory Challenges



Collaborative & Agile
Technology Development

Trusted by Top
FIs for over 20 years



Securefact creates KYC & KYB solutions to facilitate new customer acquisition.

We work as a partner to FIS to manage new customer risk, simplify compliance, & enable strong digital experiences.

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