

CASE STUDY · FINANCIAL ADVISORY & INSURANCE BROKERAGE

Compliance-Native Advisor Intelligence

Anonymised — details representative of SynexumLabs' delivery pattern in the regulated financial services segment.

CLIENT PROFILE

A regulated financial services firm with 14 licensed financial advisors, offering wealth management and insurance products across three provinces. Combined book of approximately \$220M AUM and ~4,800 in-force policies. Compliance function led by a single Chief Compliance Officer supported by two administrative staff.

THE PROBLEM

Compliance was a 40-hour manual process every single week — and it was still not enough.

- › Weekly compliance reporting was a full-time job for the CCO. Suitability documentation, disclosure signing evidence, product-recommendation trails, and continuing-education tracking were scattered across email, PDFs, and CRM notes.
- › Advisor productivity was strangled by admin. Senior advisors spent 30–40% of their week on KYC renewals, disclosure workflows, and paperwork — not on client relationships or new business.
- › Client insight was stale. Portfolios and policies were reviewed on annual cycles. Between reviews, market moves, life events, and policy lapses went unnoticed.
- › Every question routed to the same three people. Senior advisor, CCO, and operations lead were the bottleneck for every product-suitability query and every escalation.

THE ACTION WE TOOK

A two-week Discovery engagement mapped the firm's product shelf, advisor workflow, CRM landscape, compliance obligations, and audit surface. Deliverables: architecture blueprint, integration map, prioritised roadmap. Investment credited toward the subsequent full build.

THE ARCHITECTURE WE BUILT

Built on our Sovereignty-First Data Architecture — four disciplined tiers.

TIER 1 · The Vault — local, sovereign

Client files, KYC records, product recommendations, and compliance archives processed by small specialised models running inside the firm's own environment. Nothing exits the perimeter.

TIER 2 · The Sanitised Pipeline — secure sandbox

For deeper reasoning tasks like market-context analysis, a deterministic layer strips every client identifier before the query leaves the firm's walls.

TIER 3 · The Managed Agent Layer — bounded execution

Suitability checks, KYC-renewal monitoring, CE-hour tracking, and disclosure workflow — all running in bounded agent workflows with defined inputs, defined outputs, and complete audit logs.

TIER 4 · Public Research — market context

Market data and product benchmarks, fully separated from any client information.

WHAT CHANGED FOR THE CLIENT

Delivered inside 16 weeks of build. First usable system in the CCO's hands at week 8.

- › The 40-hour weekly compliance process became a real-time automated system with built-in audit trails. Every compliance decision was logged, timestamped, and defensible from day one.
- › Advisor productivity was restored. Over 60% of advisor admin tasks were automated. Manual coordination dropped 45%. Zero new admin hires.
- › Client insight became continuous. Dynamic reviews now flag material changes — market moves, life events, coverage gaps, KYC expiries — the day they occur, not at annual review.
- › The bottleneck cleared. Product-suitability, portfolio construction, and coverage-gap queries are now answered on demand inside the environment, with source documents cited.

MEASURED, DEFENSIBLE, COMPOUNDING

METRIC	BEFORE	AFTER
Weekly compliance reporting	40 hours per week	3 hours per week
Compliance time reduction	—	92%
Compliance gaps at next audit	Historical exposure	Zero
Real-time compliance visibility	Quarterly review	Live
Advisor time on admin	30–40% of week	12–15% of week
Manual coordination hours	Baseline	–45%
Admin headcount for growth	Planned +2	Zero
Suitability query response	24–72 hours	Under 60 seconds

“Compliance stopped being a person and started being a system.”

— CEO · six-month review

WHY WE COULD DELIVER IT

- › Engagement led by founding partners — not a delivery team handed the account after the sale.
- › Founding partner from Coigne Capital with deep credentials in wealth strategy, cross-border governance, and Canadian regulated-finance advisory (Sun Life, Global Maxfin CIRO-registered).
- › Chief AI Transformation Officer with a shipped, air-gapped Document Intelligence platform in production.
- › Delivery leadership drawn from AI Jazeera Media Network, Deloitte, and Oracle.
- › SynexumLabs benchmarks: 85% cycle-time reduction · 99.2% automated-decision accuracy · 3.2× throughput · 6-month typical ROI.

If your compliance function is one illness away from a gap and your advisors are stuck on paperwork, a 30-minute discovery call with our founding partners will give you an honest assessment of fit.

Not every firm is the right fit. synexumlabs.com