

Case Study

Rapid Regulatory Investigation Support Using AI-Driven eDiscovery

CASE OVERVIEW

An organization operating in a highly regulated industry faced a regulatory investigation involving potential misconduct across multiple business units. The matter required rapid identification, review, and production of electronically stored information (ESI) under strict regulatory deadlines.



GOALS & DELIVERABLES

-  Collect and process data from multiple custodians and data sources
-  Identify potentially responsive and sensitive content quickly
-  Reduce review scope while maintaining legal defensibility
-  Meet regulator-imposed production timelines with full audit trails



KEY CHALLENGES

- 1 Data Volume**
Over 900,000 documents collected across email, shared drives, and collaboration tools
- 2 Time Sensitivity**
Short turnaround time for initial disclosures
- 3 Sensitivity**
Presence of PII, financial data, and confidential communications
- 4 Accuracy**
High risk of regulatory scrutiny if errors occurred

SOLUTION APPROACH



Accelerated Processing

High-speed ingestion and processing enabled rapid deduplication and text extraction



AI-Assisted ECA

Analytics and AI models prioritized high-risk and relevant documents early in the workflow



Targeted Review

AI-driven filtering reduced the review population significantly before human review



Secure Review Environment

All review and analysis were conducted within a secure, access-controlled platform



OUTCOMES



Review population reduced by approximately 60% before manual review



Regulatory deadlines met without extensions



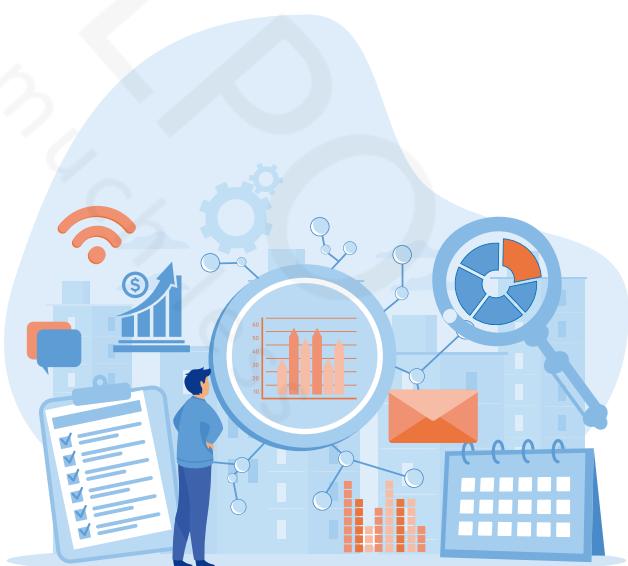
Improved reviewer efficiency and consistency



Defensible audit trails maintained across all workflows

KEY TAKEAWAYS

- ✓ Early use of AI accelerates regulatory response
- ✓ Secure, centralized workflows reduce compliance risk
- ✓ Improved reviewer efficiency and consistency
- ✓ Strategic culling significantly lowers review cost and effort



CONCLUSION

By combining advanced analytics, AI-assisted review, and disciplined project management, the investigation was completed efficiently, defensibly, and within regulatory timelines—minimizing risk and disruption to business operations.