

## 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

1

Review population reduced by approximately 60% before manual review

2

Regulatory deadlines met without extensions

3

Improved reviewer efficiency and consistency

4

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.

