

FSI Audit-to-AI Readiness: An Innovation Acceleration Workshop

Firms spend millions each year on compliance, yet most still spend 6-8 weeks scrambling for audits. Our one-day Audit-to-AI Readiness Workshop helps financial institutions turn that burden into a competitive advantage and innovation accelerator – cutting prep time, unifying data, and building a roadmap for safe innovation and future ready experiences.

Presidio will collaborate with you to rapidly assess your current compliance posture, identify automation and AI opportunities, and define a transformation roadmap that links compliance automation and modernization directly to growth and innovation acceleration. This workshop acts as a **strategic accelerator** providing a trusted foundation for AI. The result: lower costs, reduced risk, and a foundation for faster growth and digital deals.” regulatory innovation.

Who Should Participate

As Presidio facilitates these workshops in a single day, **compliance, operations, IT, risk, and frontline executioners** are crucial representatives who need to participate directly.

Recommended Attendees:

- Chief Compliance Officer (CCO)
- Chief Operating Officer (COO) / Head of Operations
- Chief Information Officer (CIO) / Head of IT
- Head of Supervision (optional for wealth)
- Head of Risk / Chief Risk Officer (CRO)
- AI/Innovation Lead



Workshop Topics

The following topics may be covered during the workshop:

- **The State of Compliance and AI in Financial Services** → A Data driven look at compliance costs, regulatory fines, and AI adoption barriers to show why audit readiness is no longer just a compliance exercise but the foundation for innovation.
- **Baseline for Audit Readiness Assessment** → Assess the current audit posture, mapping pain. Points like manual evidence collection, fragmented data, and supervision gaps to establish a clear starting point.
- **Audit Visibility & Automation** → We'll explore how real-time dashboards, alerts, and AI-driven evidence collection can reduce audit prep time from 6-8 weeks to days, cutting costs, and risks
- **Golden Record** → Highlight how fragmented data drives both regulatory exposure and client friction, and how a single source of truth can strengthen audit readiness and powers experiences, enabling AI use cases.
- **Advisor & Supervision Risk Detection** → The group will discuss how Ai can flag documentation gaps and behavior anomalies in real time, improving oversight, and boosting regulator and investor confidence.

Key Workshop Outputs

Gain immediate value and insight through the following key outputs of the workshop:

- **Readiness Scorecard** – Baseline view of current audit posture
- **Opportunity Backlog** – Prioritized list of Quick Wins and Strategic Initiatives
- **Solution Snapshots** – One-page summaries of recommended improvements
- **Roadmap** – High-level sequence of next steps and pilots
- **Readout Report** – Consolidated findings and recommendations

Benefits of Workshop

Presidio's FSI Workshop will provide the following benefits:

- **Accelerate innovation** – Build the compliance scaffolding needed to scale AI safely across client, advisor, and risk functions.
- **Unlock AI Use Cases** - Evidence automation and real time dashboards today > personalized advice, suitability, and cross-sell tomorrow.
- **Foundation for Growth** - Strong controls reduce audit prep from 6-8 weeks today's, freeing resources for strategic initiatives
- **Regulatory Trust in AI** – Show regulators you can adopt AI with guardrails, not gaps.



Let us know how we can help
Contact Presidio Today: www.presidio.com