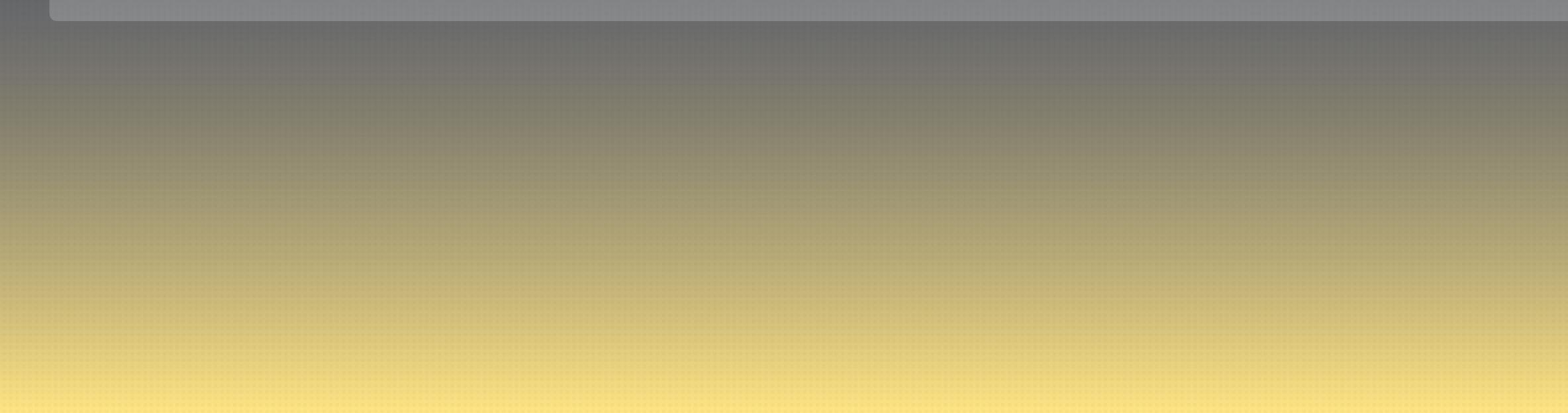


# **Regulatory Requests**

compliance with laws and regulations.

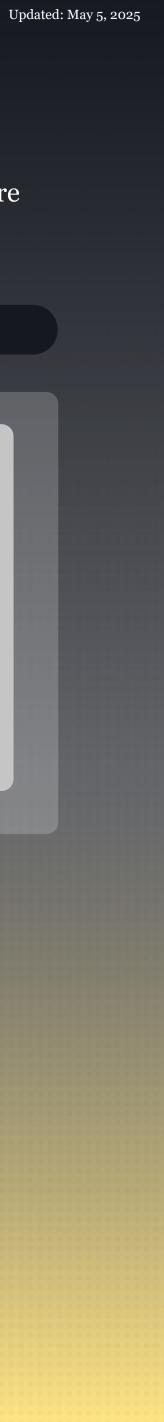
# Second Request Compliance

Companies must notify the Federal Trade Commission (FTC) before proceeding with a merger. If the FTC has concerns about the transaction, it may issue a Second Request for additional information. The Legal Data Intelligence model can be employed to identify and produce relevant documents in response to the request, ensuring there are no delays in finalizing the transaction.



A formal demand made by a government agency or regulatory body for information, documents, or action from an individual or organization to ensure

## USE CASE IN PRACTICE



# Legal Data Intelligence Regulatory Requests

Identify, document, and preserve the same data set as swiftly as possible, if the regulator has collected the client's data

• Identify what types of data/information may be useful, especially if this includes non-standard data types

• Evaluate composition of team and revise, if necessary, based upon the analysis above

Use of analytics and AI should be subject to local regulation,

## INITIATE

### Scope Project

- Acknowledge and circulate to stakeholders
- Validate request against requirements for regulatory agency • Develop a timeline and determine if extension is an option
- Negotiate scope and deadline, if possible
- Assemble an appropriate team of subject matter and technical experts, including any specific external experts that may be required (e.g., external and internal counsel, business leads, IT leads, LDI practitioner, forensic expert)

### How Technology Can Assist

• Identifies potential gaps or areas of focus using analytics and AI systems

## • Captures and organizes objective metrics for each matter (e.g. fees, costs incurred, time to resolution) to enable informed decision-making

## Identify Data

- Define data sources, custodians, and specific criteria (e.g., date ranges) through consideration of requests from regulator, known data collected to date by the regulator, custodial interviews, and discussions with IT administrators regarding messaging, file storage, and other relevant data sources
- Ensure identification exercise is sufficiently robust (consider if you need an expert to assist) and periodically reevaluate to account for additional sources discovered

### How Technology Can Assist

- Tracks data sources from identification through preservation, collection, and processing to ensure nothing is missed
- Quickly identifies sources and locations of potentially relevant data when using a well-integrated and up-to-date knowledge management or information governance

## Collect Data

Gather data from identified sources

### Notes

## Extract and Process Data

- Applies filters and other criteria to minimize data to be extracted and processed, thereby reducing the processing of ROT data

transparency requirements, and ethical constraints

Notes

### Notes

Determine if a client's in-house systems have search and identification functionality that are sufficiently robust.

Analyze Data

### Examine data to find relevant information, patterns, and insights

### How Technology Can Assist

- Recovers deleted material
- Extracts potentially useful or relevant information from non-user files using digital forensic techniques (e.g. internet search histories or location information from mobile devices)
- Performs complex searches including regular expressions
- Identifies specific data sets and privilege through prompts and training using generative Al

- Provides explanations and citations to help validate output

## Apply Strategic Decision-Making

Identifies encrypted files and files that could not be read for

es content to enable searching and analyt

- Develop Review Protocol

# Search and Evaluate Results

### How Technology Can Assist

- Allows for complex Boolean searches and filtering using content and metadata
- Performs complex searches (potentially based directly on requests from regulators) and summarizes large data sets using generative AI
- Quickly identifies information suggesting that there may be an issue using generative AI-powered early case assessment tools, which can be used to assist clients in swiftly determining the best way to respond to the regulator(s)
- Enables custom tagging and foldering to classify and stratify data
- Reduces review volume/ROT data
- Reduces the ultimate universe of data to be reviewed using email threading, deduplication or suppression of near-duplicates, categorization, and clustering
- Codes documents based upon training or prompts using traditional and generative AI tools
- Creates custom chronologies using traditional and generative AI tools



## INVESTIGATE

Run searches/analytics/machine learning to find pertinent data, review the search results, and cull unresponsive data

Notes

Notes

Use of analytics and AI should be

subject to local regulation, transparency

requirements, and ethical constraints.

Use of analytics and AI should be subject to local regulation, transparency requirements, and ethical constraints.

## IMPLEMENT

## Synthesize and Redact

- Conduct defensible quality control review of the data set
- Ready the data set for production according to requirements (e.g., redaction)

## How Technology Can Assist

- Applies defensible verification of any predictive coding or generative AI methodologies
- Tracks document counts and tags files
- Automates and/or applies redactions
- Performs quality control by identifying errors or inconsistent coding, standardizing production rules, etc.

## Notes

Use of analytics and AI should be subject to local regulation, transparency requirements, and ethical constraints.

## Generate Output

Run production to create required output

### How Technology Can Assist

- Applies Bates or other stamping, if needed
- Creates output in formats as specified by the regulators
- Produces data that meets requirements in relevant jurisdiction(s) and agreed protocols

## Produce

Deliver required output

### How Technology Can Assist

Exports/migrates data in required format

## Record/Document

