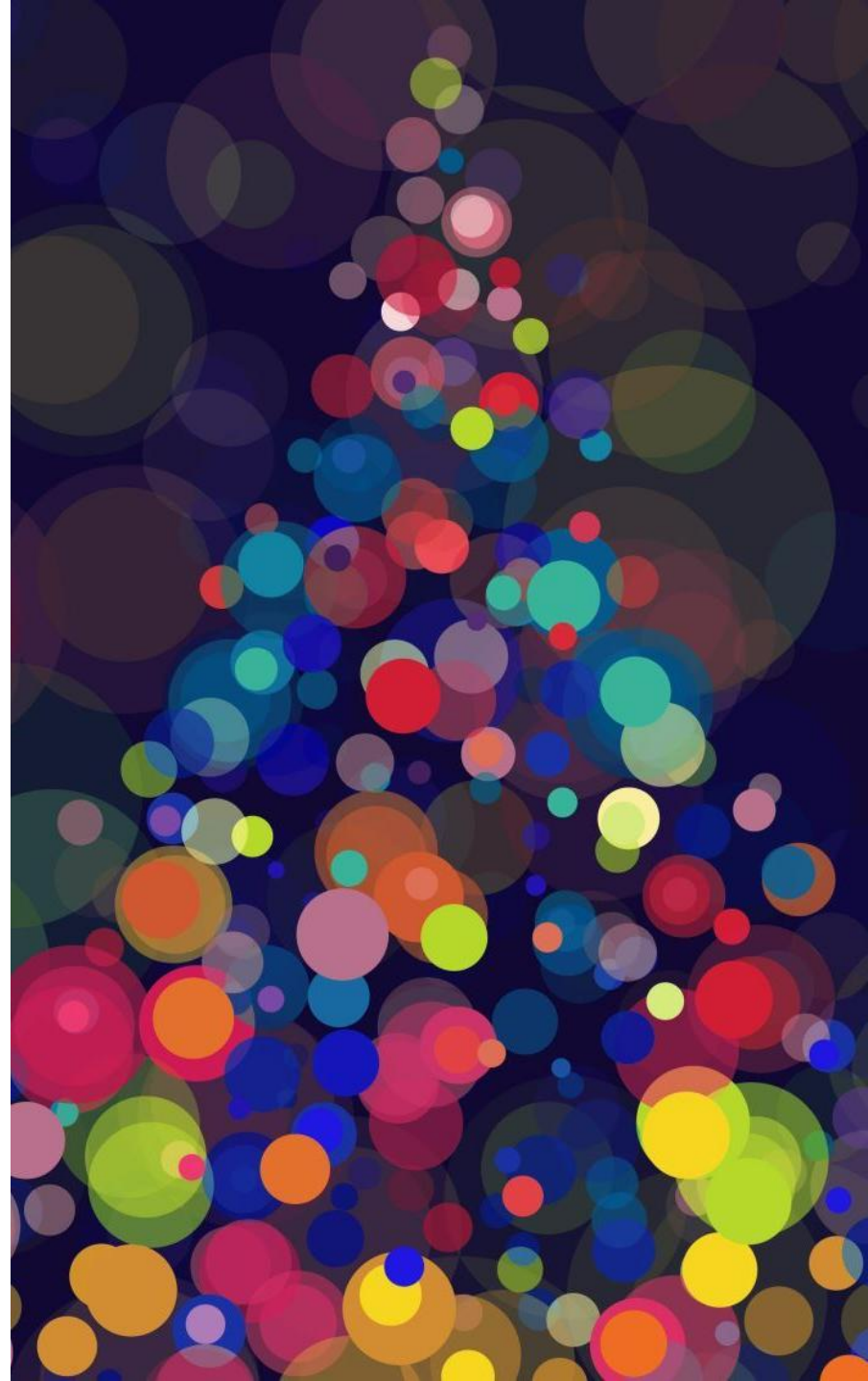

FINAIREADINESS

Bridging the AI Governance Gap
in Financial Services

- **Introduction** - Team & Vision (*1 min*)
- **Problem Statement** - AI Challenges in the industry (*2 mins*)
- **Solution Overview** - FinAIReadiness Platform (*1.5 mins*)
- **Technical Architecture** - Implementation & Stack (*1.5 mins*)
- **Business Impact** - Market & Production Path (*1 min*)
- **Live Demo** - Real Assessment in Action (*3 mins*)

7-Minute Presentation + 3-Minute Demo



INTRODUCTION

Who We Are: Team FinAIReadiness

Super Team : Team Members (Organization)

- Sridevi P (Gotomarket Limited)
- Suresh Subbu (SekurZen Technologies)
- Santhana Krishna (SK) (SekurZen Technologies)

What We've Built:

FinAIReadiness - the automated AI Risk Assessment platform specifically designed for financial services

Framework: Industry-standard FINOS AI Readiness Framework implementation

What We've Accomplished

Working Solution: Automatically assesses AI applications against comprehensive compliance standards and frameworks

Real Results: Generates actionable remediation roadmaps (**you'll see it in our demo**)

Why This Matters

The Challenge: Financial institutions caught between AI innovation potential and stringent regulatory requirements

Our Goal: Turn compliance from a barrier into a competitive advantage

PROBLEM STATEMENT :

CHALLENGES IN AI GOVERNANCE

Visible Real AI Failures:

- ❖ **AI mortgage models show systematic racial bias** against Black borrowers in university research.
[Lehigh University Study](#)
- ❖ **UnitedHealthcare faces lawsuits** for AI that wrongfully denies 90% of elderly patient claims [Reuters Report](#)
- ❖ **The EEOC issued its first AI discrimination settlement** for \$365,000 against iTutorGroup
[EEOC Settlement](#)

Scale of the Problem:

- ❖ **42%** of businesses **scrapping AI** initiatives (up from 17%) [S&P Global Report](#)
- ❖ **80%** of AI projects fail (RAND Corporation)
[Rand Research Report](#)
- ❖ Evaluating the AI risk injected for each application and product takes months together

Current Challenges:

- Fragmented compliance approach
 - Manual risk assessments in spreadsheets
 - No standardized methodology
 - Reactive risk management
-

SOLUTION OVERVIEW

- **Self-service AI Risk Assessment platform** for product managers and Analysts - transforming Risk and Compliance Reporting from **2-4 months → 2-4 hours**
- Digitized the entire **FINOS AI Readiness Framework** for faster risk assessment

FinAIReadiness Platform

Platform: Automated assessment platform evaluating AI applications against comprehensive compliance standards

Coverage: FINOS + OWASP LLM Top 10 + FFIEC + EU AI Act + NIST AI RMF

Key Features:

- **Automated Assessment Engine**  **Real-time framework evaluation with FINOS**
- **Smart Remediation Engine**  **Actionable recommendations with Mitigations**
- **Intelligent Risk Classification**  **AI/ML-powered detection across risk categories**

Target Users: Product Managers, Project Managers, Risk & Compliance Analyst supporting launch of AI features in Financial Products

Industry Impact:

Bridges the critical gap between AI innovation speed and financial compliance requirements, enabling safe AI deployment while maintaining regulatory excellence

HIGH LEVEL ARCHITECTURE

Simplified Tech Stack for Hackathon :

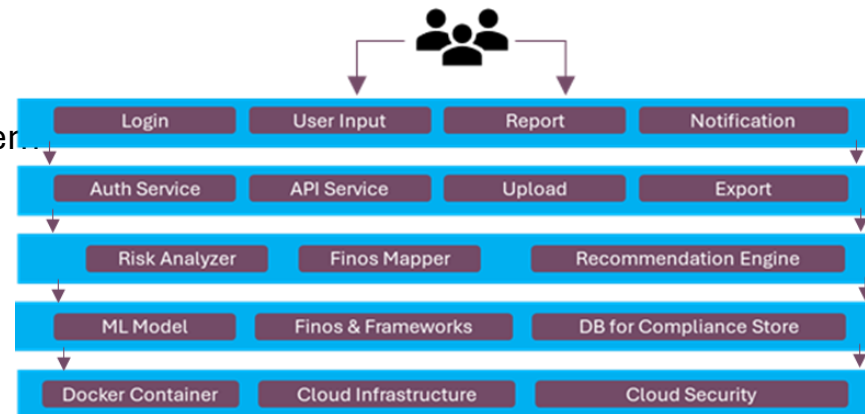
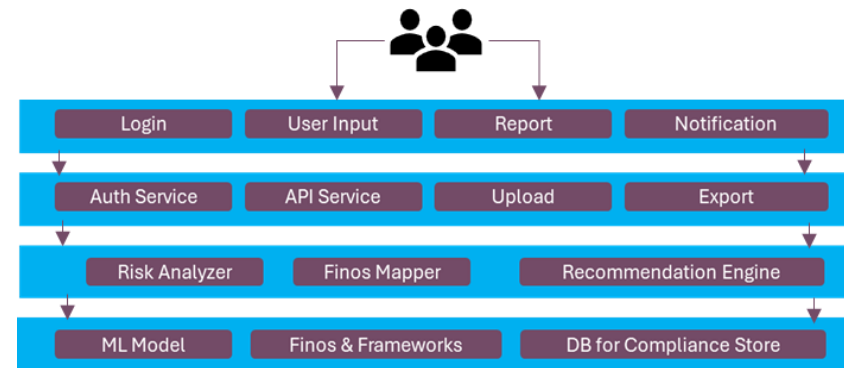
- Web / App : Next.js for full stack dev
- LLM Models : Open AI GPT 4.1 Based LLM
- Data : Json / local data store
- Infrastructure : Vercel

Proposed Tech Stack – Production:

- Web/App: Next.js
- Backend: Python with Fast API
- AI/ML Engine: Python with ML Libraries for risk pattern recognition
- LLM Models : Llama with local deployment (Containerized)
- Database: PostgreSQL + Vector DB for compliance data and assessment history
- Cloud Infrastructure : Multi-Cloud

Scalable Architecture

- **Multi-Tenant SaaS** – Enterprise Class Multitenant Model
- **Microservices Architecture** - Scalable, maintainable design
- **Kubernetes Orchestration** - Industry-standard container management
- **MultiCloud Platform(AWS/Azure)** - Redundancy and vendor diversity
- **Load Balancer + Auto-Scaling** - Handles variable enterprise workloads



BUSINESS IMPACT & MARKET OPPORTUNITY

Time & Cost Savings:

- Manual assessment: 60-120 days → Our platform: 2-4 hours
- **ROI:** Extensive time reduction = ~\$300-500K savings per AI project

Risk Reduction:

- Proactive identification: Catch issues before production
- Comprehensive coverage: No blind spots in compliance
- Continuous monitoring: Ongoing risk assessment as systems evolve

Market Opportunity:

- **\$2.3 billion** global AI governance market by 2028
- **500+ financial institutions** need comprehensive AI governance
- **Early mover advantage** in FINOS framework implementation

Path to Production:

Phase 1 (0-3 months):

MVP with focus on three risk categories (TBD)

Phase 2 (3-6 months):

3-5 pilot customers in Mid Market

Phase 3 (6-12 months):

Final Product development - add remaining risk categories

Phase 4 (12-18 months):

Scale rollout - 25+ institutions across different segments

Phase 5 (18+ months):

Enterprise platform - full automation, regulatory partnerships, market expansion

DEMO TIME

Q & A
