Case Study: Risk Profiling & Suitability Engine

Agile Scrum Project

Executive Summary

- Self-help Agile Scrum project to automate client risk profiling, ensure compliance, and improve advisor efficiency.

Problem Statement

- Manual, inconsistent risk profiling in wealth management → compliance risks, inefficiencies, and mis-selling.

Objectives

- - Automate profiling via dynamic questionnaires
- - Build suitability engine
- - Ensure compliance (MiFID II, Reg BI, SEBI)
- - Improve trust and productivity

Scope

- - Questionnaire
- - Scoring Algorithm
- - Suitability Rules
- - Advisor Dashboard
- - Compliance Trail
- - API Integrations

Stakeholders

- - Product Owner
- - Financial Advisors
- - Compliance Officers
- - Clients / Investors
- - Regulators

Approach / Methodology

- Agile Scrum framework, delivered in sprints. Techniques: stakeholder interviews, workshops, document analysis, prototyping. Created Vision, Roadmap, Stories, Wireframes, Charts, Release Notes.

Key Deliverables

- - Product Vision Document

- - Roadmap

- - User Stories + AC

- - Wireframes / Mock-ups

- - Release Notes

- - Burndown & Velocity Charts

- - Elicitation Log

Challenges & Mitigation

- - Regulatory complexity → document analysis
- - UI/UX delays → early prototypes
- - Integration risks → early dependency mapping

Results / Impact

- - 95%+ profiling accuracy
- - 100% compliance checks
- - 30% faster onboarding
- - Positive feedback from simulated stakeholders

Lessons Learned

- - DoR/DoD improved consistency
- - Backlog refinement reduced spillovers
- - Wireframes accelerated alignment

Conclusion

- Case study shows ability to elicit, analyze, and deliver requirements in Agile Scrum context, simulating real BA/PO project delivery.