

DILIGENCE

Compliance Intelligence for Enterprises

AI-Powered GRC Platform for Operational & Reporting Compliance



**Tightening Regulatory Scrutiny**



**20%**

HKEX firms disclosed non-compliant reports

**New Cyber Security Laws**



**<5%**

Operators are audit-ready

**AI and Greenwashing are prevalent**



**<10%**

Disclosures are 3<sup>rd</sup> party verified

**The Problem:**

**Compliance is breaking at the seams for Enterprises.**

**The Challenge:**  
**Enterprises rely on manual workflows to stay compliant.**

**60%**

of firms rely on spreadsheets for compliance



**49%**

of firms manage regulations from 3+ jurisdictions



**>70%**

of firms incorporated AI into their strategy



**<14%**

adopted AI governance practices



# Why now: converging market and regulatory tailwinds

	Reporting Compliance	Operational Compliance	Board Governance
What's New	<ul style="list-style-type: none"><li>21 jurisdictions mandate ISSB standards</li><li>Scope 1/2 reporting for all issuers</li></ul>	<ul style="list-style-type: none"><li>HK Critical Infrastructure Ordinance</li><li>SFC/HKMA AI Governance</li></ul>	<ul style="list-style-type: none"><li>Enhanced Corporate Governance Code</li><li>Mandatory annual RMIC effectiveness reviews</li></ul>
Audience	Finance, Legal & ESG	IT, CISO & Audit	Company Secretary & Board Directors
Impact	<b>2500+</b> Public Companies 3x Increase in regulatory burden	<b>500+</b> Critical Infrastructure Operators HK\$5M penalties per offense	<b>22,400+</b> Directorships 62% cite regulatory burden

# The Solution: AI agents for governance, risk and compliance.

*Degree of full workflow automation (in %)*

## Regulatory Agent

**85%**

Convert regulatory circulars into actionable requirement checklists.

## Compliance Agent

**85%**

Evaluate organizational context to determine the compliance scope and best practices.

## Audit Agent

**95%**

Sample and review evidence to generate audit findings and recommendations.

## Governance Agent

**70%**

Monitor policies, procedures, and evidence to identify control failures and remediate steps.

## Verification Agent

**75%**

Fact-check disclosures against supporting documents to flag inconsistencies and false claims.

## Drafting Agent

**65%**

Generate integrated documentation and disclosures aligned with regulatory requirements.

## Benchmarking Agent

**95%**

Compare governance and reporting metrics against peers and industry benchmarks.

## Performance Agent

**60%**

Track management performance and executive remuneration.







**GRC  
Platform**

Reporting Compliance

Automate Annual & ESG Report Review to Elevate Investor Confidence

Listing Rules

 香港交易所			
CG Code Appendix C1	CG & Principle Recommendations	CG Code Practice Guide	MCCG
ESG Reporting Appendix C2	Principles 3 & 7 ASIC RG280	Practice Note 7.6 LR 711A/711B	NSFR & Bursa Sustainability Guide
Financial Disclosure Appendix D2	Chapter 4 periodic Disclosure	Periodic & Continuous Financial Disclosure (Part IV)	Listing Rule Financial Reporting

Reporting Standards










- ✔ Regulatory reporting automation
- ✔ Board-ready reports and MI dashboards
- ✔ Benchmarking and industry insights
- ✔ Multi-jurisdiction reporting support
- ✔ Audit-ready documentation repository

Operational Compliance

Enable continuous compliance monitoring across your organization

Regulatory Frameworks



- ✓ Automated regulatory change tracking
- ✓ Gap analysis and risk assessment
- ✓ Policy and procedure management
- ✓ Document control and version management
- ✓ Deadline tracking and alerting

InfoSec & AI Governance Frameworks



**Differentiator: Domain-specific technical capabilities set us apart.**

**Unified Platform**

 **AI-powered Intelligence**

 **Multi-entity Support**

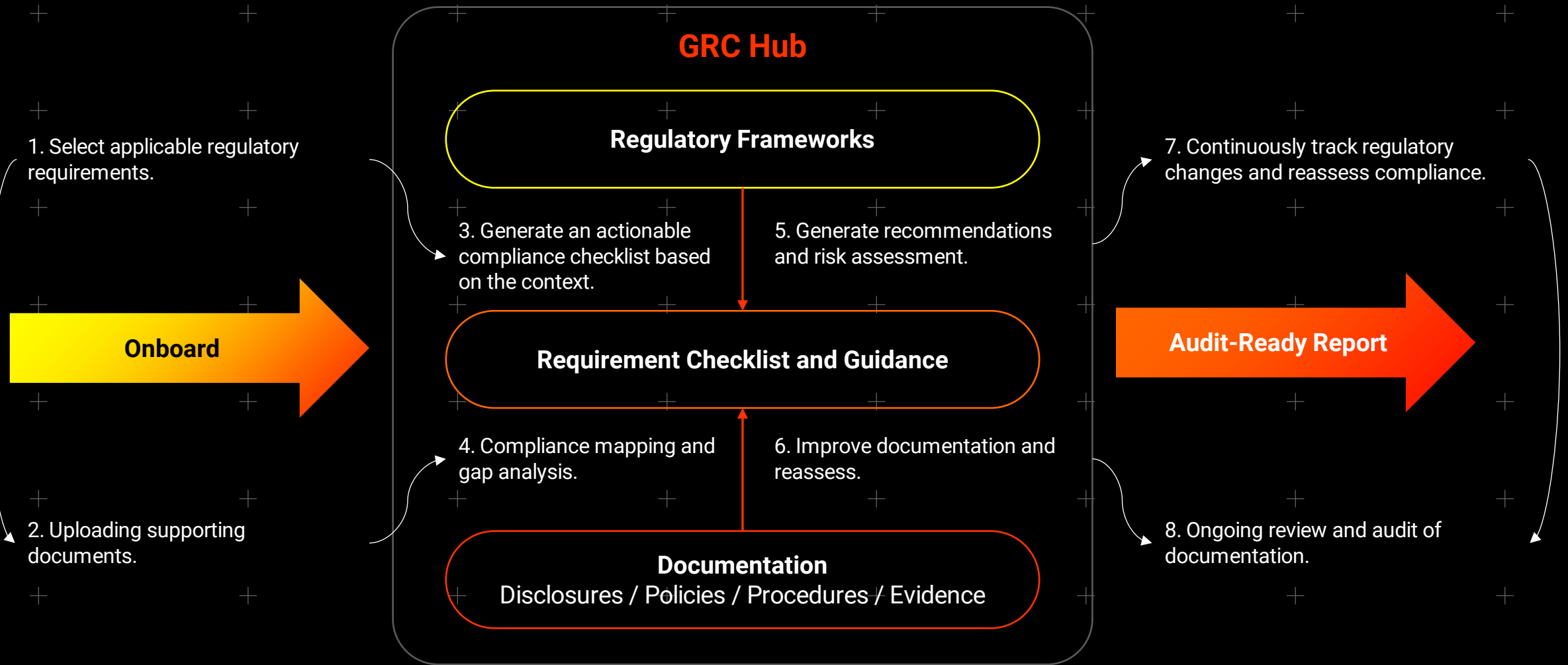
 **Customizable Workflow**

 **Continuous Monitoring**

 **Integration-ready**

 **Regional Expertise**

# How it Works: End-to-end workflows for compliance monitoring



## The platform that unites all governance and reporting needs



### Regulatory Monitoring

AI-powered tracking of regulatory sources and frameworks



### Compliance Checklist Generation

Dynamically convert regulatory circulars into actionable requirements and guidance



### Gap Analysis & Risk Assessment

Real-time compliance mapping, recommendation, and scoring



### Verification & Audit Automation

Direct evidence linking to compliance controls with immutable audit trails



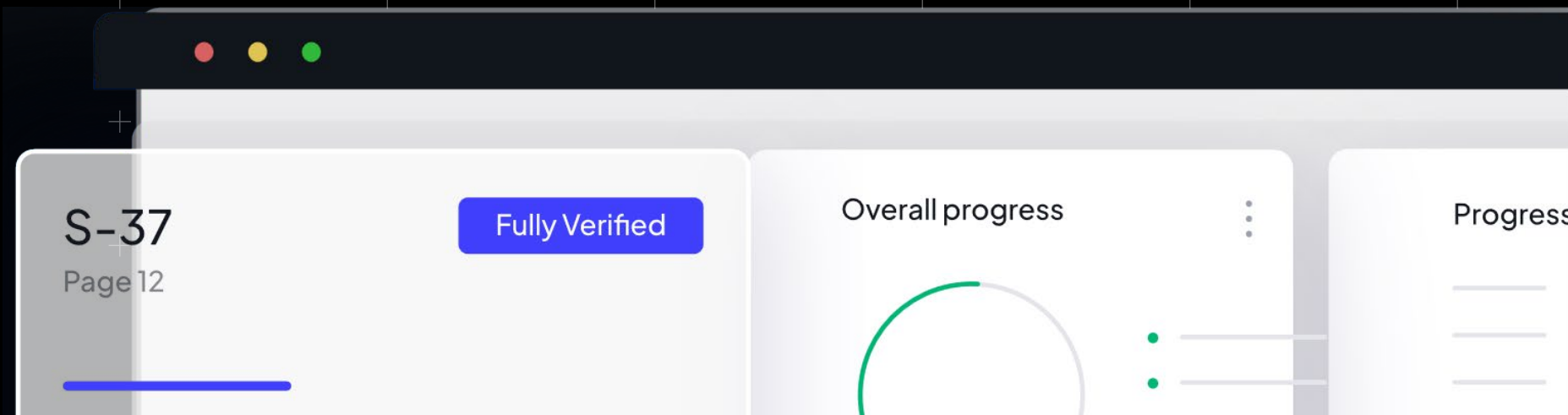
### Performance Benchmarking

Peer comparison dashboards and industry benchmarks for compliance improvement



### Document Versioning & Policy Management

Centralized policy library with automated version control and approval workflows



# A regulatory authority enhanced oversight and safeguarded critical infrastructure using AI

>90%

Coverage rate

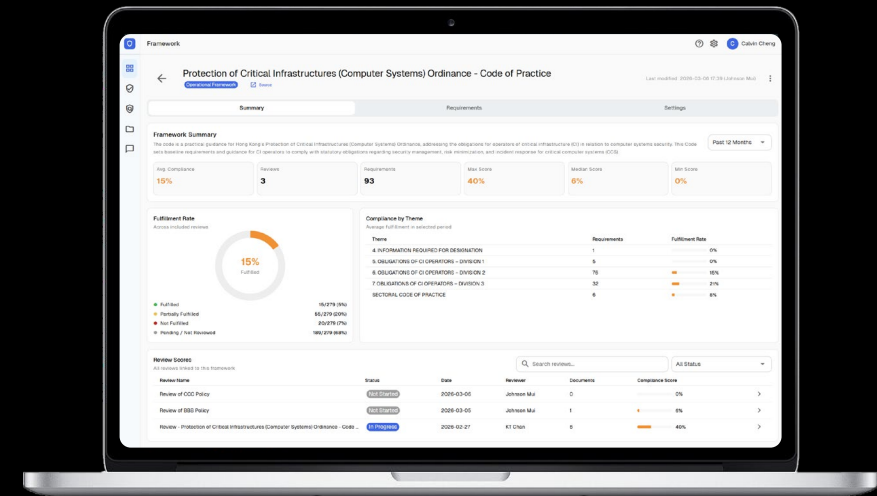
8x

Faster compliance review

50%

Cost savings

## Compliance Monitoring Dashboard



### Use Case

- Continuous monitoring of critical infrastructure operators' compliance with cybersecurity codes of practice.
- Automated gap detection, risk assessment, and audit coordination.

### Challenge

- Significant burden to regularly monitor hundreds of operators across multiple sectors.
- Policies and procedures must align with evolving information security standards.
- Insufficient resources to conduct timely audits and identify non-compliance across all entities.

### Strategy

- Centralized tracking of operator compliance against latest cybersecurity codes of practice.
- AI-powered gap analysis to detect control failures and non-compliance in real-time.
- Streamlined audit interactions and regulatory reporting without increasing administrative burden.

# A listed infrastructure operator streamlined governance and sustainability reporting using AI

## >95%

Compliance rate

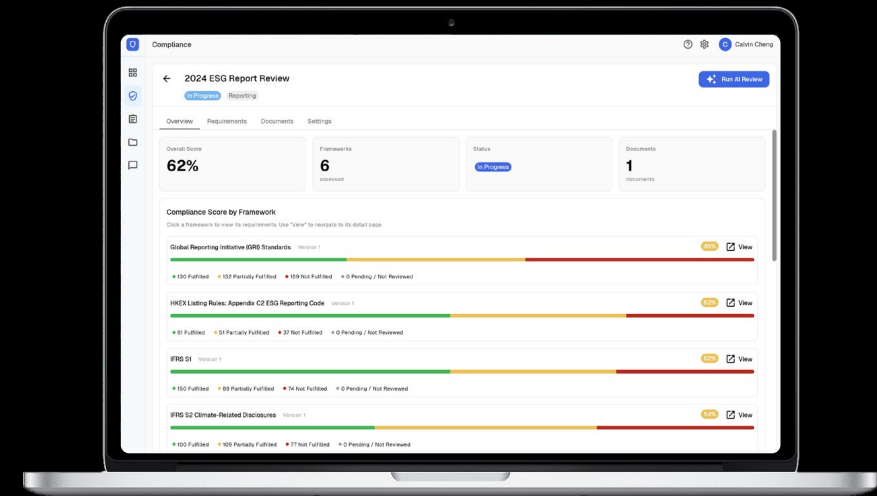
## 10x

Faster ESG verification

## 40%

Cost savings

## ESG Reporting Compliance Review



### Use Case

- Reporting compliance with HKEX listing rules and global sustainability standards.
- Automated benchmarking, compliance checks, verification, and investor Q&A.

### Challenge

- Significant regulatory burden to file involuntary announcements regularly.
- Annual, interim, and ESG reports must comply with complex guidelines.
- Insufficient time to respond to ad hoc questions from investors.

### Strategy

- Accelerated compliance review against HKEX listing rules, IFRS, and TCFD reporting standards.
- Generated verification notes and compliance scores based on report drafts.
- Generated responses for dozens of questionnaires from external stakeholders.

# A global bank tracks regulatory frameworks, analyzes gaps, and manages risks using AI

95%

Compliance rate

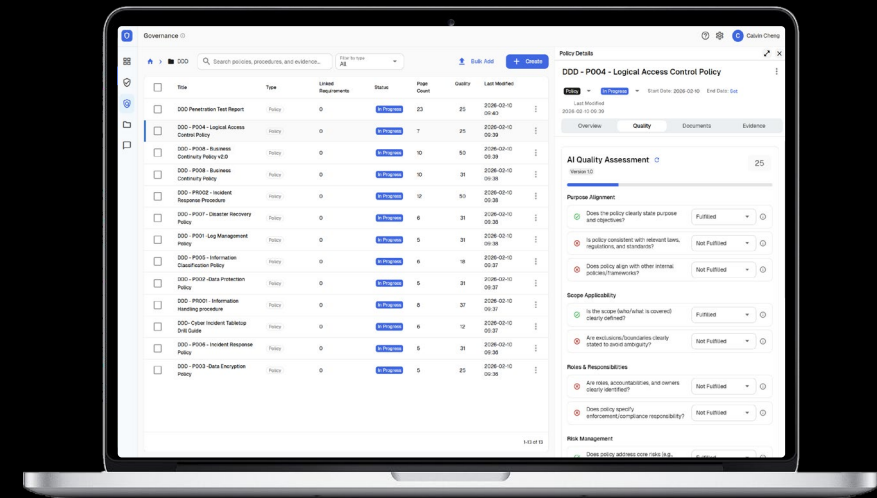
15x

Faster audit response

60%

Cost savings

## Governance Document Centre



### Use Case

- Compliance for HKMA cyber resilience (CRAF), ISO 27001, and critical infrastructure regulations.
- Regularly perform regulatory monitoring and gap and impact analyses.

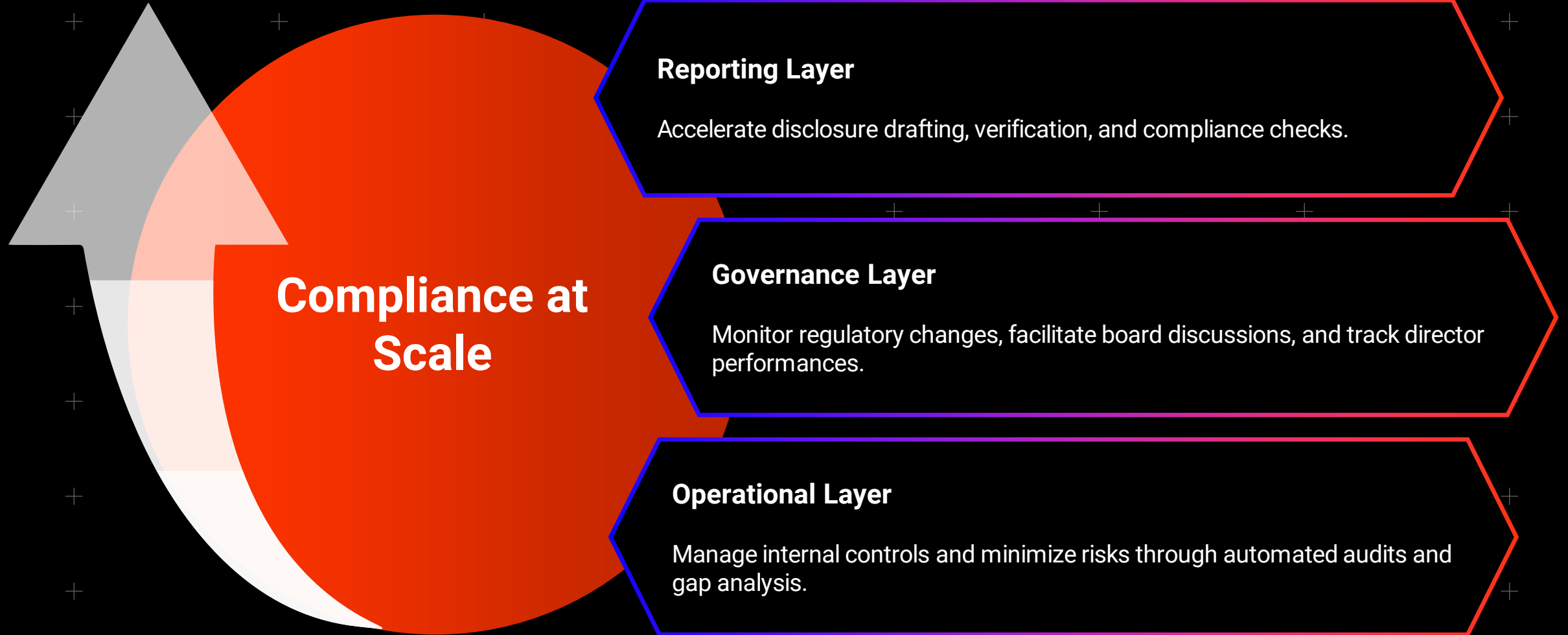
### Challenge

- The bank is subject to hundreds of regulations across 30+ jurisdictions.
- Time-consuming to map regulations to 10,000+ policies and procedures.
- Costly to regularly audit controls across the organization.

### Strategy

- Tracked 100+ frameworks in a central platform.
- Automated regulatory requirements mapping with policies, procedures, and evidence.
- Streamlined audit Q&A and control monitoring by using AI agents.

# Governance AI embedded across all levels.



Every team works smarter with AI

Company Secretary



Automates governance tracking and ensures efficient compliance with regulatory standards.

Investor Relations



Streamlines investor pack creation and accelerates due diligence with centralized, verifiable materials.

Sustainability



Enables automated ESG tracking, transparent reporting, and performance benchmarking.

Audit & Risks



Identifies compliance gaps and facilitates collaborative, audit-ready reviews.

Compliance



Centralizes policy management and delivers instant gap analyses with automated compliance alerts.

Legal

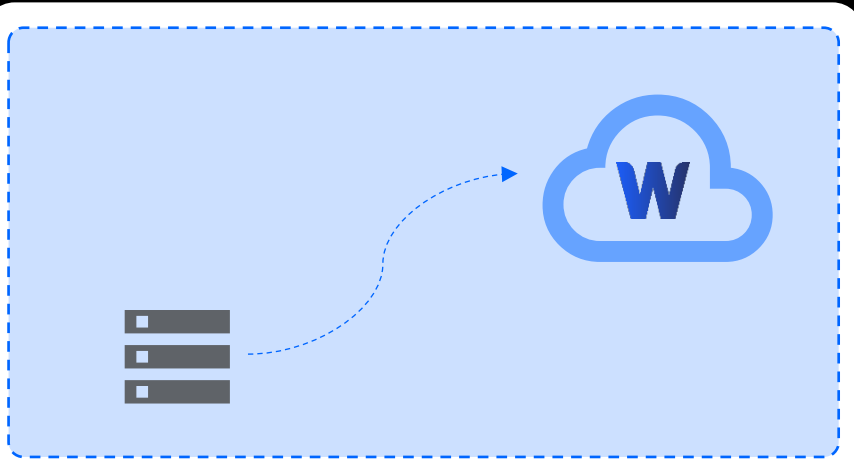


Expedites disclosure drafting and verification with accurate, AI-powered documentation.

# Cybersecurity measures

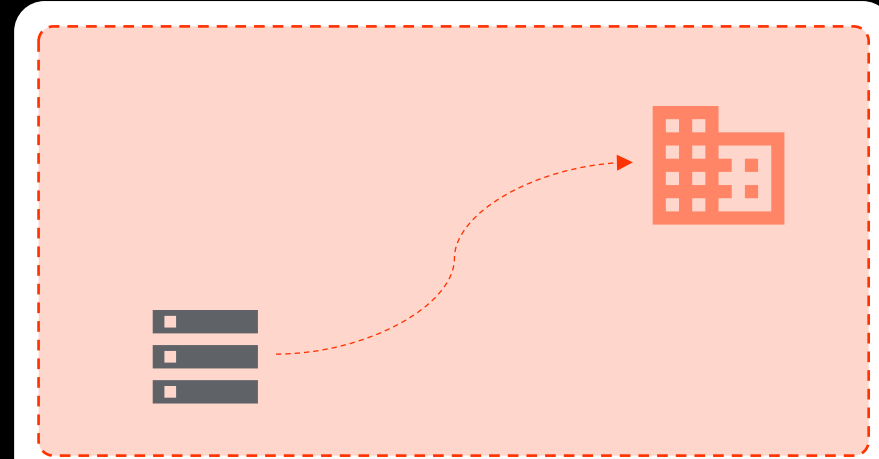
Wizpresso is ISO27001:2022 certified. We ensure the integrity of client data and access through industry standards and best-in-class security provisioning. The table below highlights our cybersecurity commitments for Diligence.

Security	Status	Description
Database encryption	✓	Data at rest is encrypted with the AES-256 standard
Data encryption in transit	✓	Data in transit is end-to-end encrypted with AES-256 standards. All connections use TLS/SSL encryption (version TLS 1.3)
Document encryption	✓	Document data is scanned and encrypted with the AES-256bit
Key management encryption	✓	Cryptographic keys encrypt data using FIPS 140-2 Level 3 certified cloud-based hardware security modules
Multi-factor authentication	✓	Identification management using phone-based or app-based OTP supported
Single sign-on	✓	Identification management integrated with Active Directory supported
Penetration testing	✓	Exhaustive annual test by 3 <sup>rd</sup> party with priority remediation of any security vulnerability issues
Application security testing	✓	Performed continuously on software with priority remediation of any security vulnerability issues
Vulnerability assessment	✓	Application and source codes are scanned before deployment and at least annually
Threat management	✓	Infrastructure is protected by threat detection services to monitor our servers against unauthorized behaviour
DDoS Protection	✓	Web application is protected by DDoS protection service 24/7 to safeguard against network and transport layer DDoS attacks
Firewall	✓	Firewall to protect our application or APIs against web exploits and bots that may impact availability, compromise security, or consume excessive resources.
Backup Protocol	✓	Comprehensive backup and recovery process to retain snapshots of data every 24 hours
RTO/RPO	✓	High availability zones to ensure RTO/RPO is in minutes



## Deploy on Wizpresso Cloud

- ✓ Instant setup with no infrastructure management.
- ✓ Automatic updates.
- ✓ ISO27001:2022 Certified.
- ✓ 24/7 monitoring and enterprise-grade security.



## Deploy On-Premise

- ✓ Complete control over infrastructure and data.
- ✓ Custom deployment.
- ✓ Enhanced security with your protocols.
- ✓ Dedicated support and implementation assistance.

# Wizpresso is recognized as a leader in AI

Empowering thousands of professionals augmenting enterprise workflows every day.

## Accolades



Inaugural FinTech Prize (HK\$2,000,000)



AI of the Year Winner



FinTech Category Merit



3-stars SME Category



Best Startup Award



Gold Award



Platinum Award in Regulatory Technology



FinTech Champion (HK\$100,000)



Top 10 Winner



Gold Award in Regulatory and Risk Management



Grand FinTech Award



Hong Kong Chapter - Champion

## Featured On





## Get started today

Wizpresso is an AI-powered GRC platform that transforms governance, risk, and compliance workflows through intelligent agents. Leveraging advanced language and reasoning models, Wizpresso automates reporting compliance, regulatory monitoring, audit and verification, governance management, and operational risk processes. Its agentic architecture empowers organizations to streamline decision-making, enhance transparency, and ensure regulatory integrity across complex ecosystems.

Contact: [hello@wizpresso.com](mailto:hello@wizpresso.com)

Learn more: <https://wizpresso.com/products/Diligence>

Book a Demo Today



**WIZPRESSO**