



# Beyond Traditional GenAI

Transforming Governance, Risk, and  
Compliance in Asset Management

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# Introduction

The asset management industry operates within an intricate framework of governance, risk, compliance (GRC), and stewardship responsibilities. Traditional tools often fall short in addressing the sophisticated and dynamic demands of managing regulatory compliance, ensuring stewardship excellence, and optimizing client engagement.

Weave.AI's **Spotlight** and **Spectrum** platforms redefine this landscape by providing an integrated, dynamic decision framework that aligns GRC imperatives with stewardship and investment performance goals.

Leveraging **cutting-edge Neuro-Symbolic GenAI**, Weave.AI equips compliance and stewardship teams with precise, actionable intelligence to benchmark internal policies, assess portfolio company performance, and ensure alignment with key regulatory and stewardship frameworks. These platforms empower asset managers to improve compliance reporting, engage portfolio companies for better governance, and prepare for proxy filing seasons with forward-looking data-driven strategies.

Our recognition as the first runner-up among over 700 global participants in the **UBS Future of Finance Challenge** highlights the tangible value we are already delivering in large-scale enterprise deployments. Endorsed by UBS, a global asset management leader with \$1.7 trillion in AUM, our solutions are actively transforming GRC and stewardship processes, driving measurable outcomes in compliance, risk management, and client engagement.

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## Transforming Asset Management GRC Decision Journeys

In asset management, the interplay of regulations, stewardship, and investment returns demands tools that go beyond intuition and fragmented data. Weave.AI's **Spotlight** and **Spectrum** empower GRC and stewardship teams with proactive, data-driven insights to stay ahead of regulatory changes, evaluate governance risks, and enhance client trust. By transforming static processes into dynamic, interconnected workflows,

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Weave.AI ensures precision and alignment with evolving market conditions, regulatory mandates, and stewardship goals.

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## Proactive GRC and Stewardship Monitoring

### 1. Unified Insights Across Data Silos

Spotlight and Spectrum consolidate data from regulatory documents, stewardship codes, market indicators, and portfolio company reports, providing a comprehensive view of risks, governance gaps, and compliance opportunities.

### 2. Compliance with Global and Local Regulations

By integrating frameworks such as SFDR, SDR, the UK Stewardship Code, SEC Investment Adviser regulations, and MiFID II, Weave.AI benchmarks policies, identifies compliance gaps, and provides tailored recommendations for alignment.

### 3. Portfolio Company Assessment and Engagement

Evaluate portfolio companies for compliance and governance gaps. Leverage stewardship insights to guide portfolio companies in improving risk management and governance, aligned with best practices and regulatory mandates.

### 4. Forward-Looking Stewardship Strategies

Prepare for proxy filing seasons with emergent risk and compliance insights. Use real-time triggers to engage portfolio companies and adapt strategies to dynamic market and regulatory shifts.

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## Key Features and Use Cases

### Spotlight: Precision at the Document Level

- **Monitor Regulatory Changes and Benchmark Compliance:** Analyze internal policies and procedures against evolving regulations, providing

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actionable guidance and next steps for GRC alignment.

- **Create Comprehensive GRC and Stewardship Reports:** Draft reports that highlight regulatory vulnerabilities, governance opportunities, and actionable recommendations.
- **Search and Summarize Compliance Documents:** Automate the analysis of compliance documents to enhance operational efficiency.

## Spectrum: Macro-Level Risk and Opportunity Analysis

- **Benchmark Portfolios Against Industry Standards:** Evaluate portfolio performance and governance metrics, such as ESG alignment and risk resilience.
- **Detect Emerging Risks and Trends:** Use cross-sector analysis to align strategies with key macroeconomic and regulatory indicators.

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## Overcoming Traditional Challenges in Asset Management

The high-stakes environment of asset management requires precision, integration, and forward-looking insights. Traditional GenAI systems often fail due to high error rates, fragmented data insights, and static reporting capabilities. Weave.AI bridges these gaps with:

- **Verifiable Accuracy:** Ensures compliance with stringent regulatory standards.
- **Actionable Intelligence:** Guides proactive governance and stewardship strategies.
- **Scalable Expertise:** Automates GRC best practices, freeing resources for high-value tasks.

These capabilities directly address challenges such as:

- Inconsistent compliance with frameworks like SFDR, SDR, and stewardship codes.

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- Limited visibility into portfolio company governance risks and performance gaps.
  - Resource-intensive reporting and proxy preparation processes.

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## Tangible Benefits for Asset Managers

### Enhanced Compliance and Reporting

- Achieve a **90% reduction in manual effort** through automated compliance validation and reporting (PwC).

### Improved Stewardship Outcomes

- Drive **33% more proactive risk detection** and engage portfolio companies effectively (Deloitte).

### Strategic Growth and Competitive Differentiation

- Position stewardship as a competitive advantage to grow AUM.
- Align portfolios with client-specific ESG and stewardship goals, strengthening relationships through transparent reporting.

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## Conclusion

In asset management, the intersection of governance, risk, compliance, and stewardship demands innovative solutions. Weave.AI's Spotlight and Spectrum empower asset managers to proactively address regulatory requirements, enhance stewardship strategies, and optimize portfolio performance. By delivering precise insights, these platforms enable asset managers to strengthen client trust, improve governance outcomes, and achieve sustainable AUM growth.

**Discover how Weave.AI can transform your GRC and stewardship strategies—[contact us today](#).**