

AI Powered Asset Management:

*Unlocking Efficiency, Insights,
and Competitive Advantage*

Artificial Intelligence (AI) is redefining excellence across asset management. As regulatory complexity, market data costs, and client demands accelerate, organizations must adopt innovative solutions to remain competitive and compliant.

By leveraging AI, asset managers can streamline processes, lower costs, and enhance decision-making while managing risks and remaining compliant in an ever-changing regulatory environment. The result is a scalable, efficient, and resilient operating model that positions asset managers for sustainable success in an increasingly dynamic environment.

Sia's Asset Management and Data Science experts collaborated to identify and solve high-profile use cases where AI can deliver substantial value across multiple operational areas:

01

REGULATORY MONITORING, RISK & CONTROLS, AND CONTRACT MANAGEMENT

AI automates compliance tracking, control testing, and contract validation. It reduces manual effort, improves accuracy, and mitigates risks through intelligent document processing, semantic mapping, and workflow automation.

02

MARKET DATA AS A SERVICE (MDAAS)

An AI-enabled market data agent that helps financial institutions continuously understand, manage, and optimize their market data ecosystem. It acts on behalf of procurement, finance, and business teams to surface spend drivers, identify inefficiencies, flag risks, and support better commercial decisions. By connecting contracts, billing, usage, and benchmarks, the agent provides ongoing visibility and insight — reducing manual effort, improving cost discipline, and supporting smarter data monetization and vendor strategy over time.

03

CORPORATE ACTIONS PROCESSING

Agentic and Generative AI streamline announcement capture, eligibility verification, and election management. These tools reduce operational risks, accelerate turnaround times, and enhance client communication.

04

SMARTER DATA INSIGHTS

AI-driven frameworks improve data governance, accessibility, and quality. Protocols like MCP enable secure, real-time connectivity to diverse data sources, while intuitive tools empower non-technical users and upskill IT teams.

05

RFP/DDQ MANAGEMENT

AI automates response generation, workflow approvals, and compliance integration. This reduces turnaround times, ensures consistency, and strengthens governance in client engagement processes.

Overall, AI transforms these traditionally manual, resource-intensive processes into agile, efficient, and compliant operations, positioning organizations for sustainable success in a rapidly evolving business landscape.

1. AI for Regulatory, Risk and Controls

The rapid evolution of regulatory requirements, risk management practices, and contractual obligations has created significant challenges for organizations across industries. To remain compliant and competitive, firms must adopt innovative solutions that accelerate processes, reduce manual effort, and ensure accuracy.

AI has emerged as the key transformative technology that address these challenges through automation, workflow and system integration to enhance decision-making and improve operational efficiency. The Sia team explored three key areas where AI delivers substantial value: regulatory monitoring, risk and controls, and contract management.





Regulatory Monitoring

Regulatory monitoring involves tracking and interpreting changes in laws and standards to maintain compliance. Traditional methods often struggle with the sheer volume and complexity of global regulations. AI simplifies this process by ingesting and classifying regulatory sources, identifying impactful changes, and automating notifications to relevant teams. Advanced analytics enable organizations to run impact analyses, assign tasks through workflow systems, and centralize information for easy access. These capabilities not only reduce compliance risks but also save time and resources, ensuring firms stay ahead in a fast-moving regulatory landscape. Sia developed RegReview which is an AI-driven regulatory change management platform that automates and streamlines the end-to-end process of regulatory monitoring, analysis, and implementation.

Risk and Controls Management

Maintaining a robust risk and control environment requires continuous alignment with evolving regulations, internal policies, and operational business updates. AI is at the forefront of revolutionizing risk and controls through automated control design, mapping, testing, and remediation. It leverages natural language processing (NLP) to standardize control descriptions, identifies gaps against industry standards, and drafts revisions to outdated or inaccurate controls. Furthermore, AI-driven dashboards and workflows improve traceability and remediation efforts. This technological advancement reduces the manual effort used in the past and transforms a historically one-time review to having constant, real-time risk exposure analysis as the asset manager requires. Sia created RegMatcher which is an AI-powered compliance tool that automates the complex task of aligning evolving regulations with an organization's internal policies and controls.

2. Market Data as a Service

Sia's Market Data as a Service (MDaaS) is an innovative solution designed to address the growing challenges in market data management for financial institutions.

With annual global spending on market data exceeding \$42 billion and projected to reach \$67 billion by 2030, firms face inefficiencies such as opaque pricing, redundant subscriptions, and compliance risks. MDaaS leverages advanced AI technologies to centralize, govern, and optimize market data usage, transforming it from a cost burden into a strategic advantage.

AI Contract Review

Sia's AI-powered contract review automates the extraction and interpretation of key contractual details, such as pricing, renewal clauses, and service-level agreements. Using technologies like OCR and semantic chunking, this process reduces manual review time by up to 70%, ensures accurate invoice reconciliation, and enhances compliance by detecting risks early. By standardizing contract analysis, organizations gain consistency and transparency, enabling better procurement decisions and cost optimization.

Smart Inventory Management

Sia's Smart Inventory Management consolidates HR, vendor, and contract data into a unified system, providing full visibility into market data usage and costs. This capability allows firms to track which employees use specific services, identify underutilized subscriptions, and align billing with contractual obligations. Automated alerts for renewals and terminations prevent unnecessary spending, while structured governance ensures accountability and compliance across the organization.





Benchmarking for Negotiation Leverage

Sia's Benchmarking tools within MDaaS empower firms to compare vendor costs and service levels against industry standards. Sia's proprietary peer data repository aggregates nearly \$1 billion in contractual data across major institutions, enabling granular analysis down to product and user levels. These insights provide negotiation leverage, helping firms secure better terms, reduce costs, and align spending with market benchmarks for maximum efficiency.

Business Intelligence and Reporting

Sia's AI-driven business intelligence and reporting deliver real-time visibility into market data expenses, vendor performance, and usage trends. Interactive dashboards allow organizations to track spending, identify optimization opportunities, and reconcile invoices against contract terms. By leveraging predictive analytics and automated alerts, firms can make data-driven decisions, enhance procurement strategies, and ensure cost attribution accuracy at the user level.

3. Voluntary Corporate Actions Processing

Voluntary Corporate Actions operations involve complex processes that require accuracy, timeliness, and compliance with regulatory standards. Traditionally, these operations have been resource-intensive, relying heavily on manual effort to capture announcements, reconcile data, manage client elections, and monitor settlements.

The integration of Agentic AI offers a transformative approach to streamline these workflows, reduce operational risks, and enhance efficiency. By leveraging AI accelerators like SiaGPT and workflow tools such as Sia's Stratum software, firms can automate critical steps in the corporate action lifecycle, ensuring faster processing and improved data integrity.



AI in Announcement Capture and Source Comparison

One of the most challenging aspects of corporate actions is managing multiple event announcements from various sources in different formats (XML, ISO/SWIFT, PDF). AI agents can automate the extraction and comparison of the announcements, identifying discrepancies and missing data elements quickly. This reduces the manual burden of reviewing critical fields and ensures that inconsistencies are flagged early. By leveraging AI, firms can proactively identify potential data values, minimize manual investigation time and improve accuracy to support the creation of a “golden record” for each event.

Stock Record Pull and Eligibility Verification

Determining account eligibility for participation in corporate actions is a labor-intensive process. AI agents can continuously monitor stock records, pulling updates to verify positions and eligible quantities. This automation not only accelerates verification but also applies regulatory restrictions, such as the SEC’s 14e-4 Partial Tender rule, to prevent over-elections or incorrect quantities. By reducing oversights and manual checks, AI ensures compliance and mitigates financial risk for institutions.

Notification Generation and Election Management

Generating outgoing notifications and managing client elections traditionally requires significant manual review of event narratives and offer documentation. AI can expedite this process by drafting notifications for new and updated events. AI will monitor received elections to ensure alignment with offer details, including minimum and multiple quantity requirements, reducing the manual oversight required for election processing. Agentic AI workflows can also raise alerts for conflicting or missing data, enabling timely intervention by operations teams. This improves turnaround times and enhances client communication satisfaction.



4. AI for Smarter Data Insights

AI is transforming how organizations derive insights from their data, enabling faster, richer, and more actionable information compared to traditional methods. By leveraging AI-driven frameworks, businesses can overcome challenges related to data governance, accessibility, and skill gaps, ultimately unlocking the full potential of enterprise data. This approach ensures that organizations not only implement the right AI technologies but also prepare their people and processes for sustainable success.

Sia's AI accelerators assist firms with unlocking quality data efficiently while exposing it to the power of large language models to gain deeper and more comprehensive insights.





AI Data Governance and Quality

One of the foundational concepts in AI-driven insights is robust data governance and quality management. Traditional governance frameworks often fail to meet the unique demands of AI, leading to delayed access and poor data reliability. AI enhances governance by introducing advanced quality controls and anomaly detection models, ensuring that data is accurate, timely, and compliant. This results in increased trust in AI outputs and reduced risks associated with consuming low-quality data. Model Context Protocol (MCP) and Data Accessibility

Data accessibility is another critical area where AI has a significant impact. Legacy systems often create bottlenecks due to rigid architecture and accumulated technical debt. The Model Context Protocol (MCP) addresses these challenges by enabling large language models to securely connect with diverse data sources, including databases, data lakes, and file storage. Through real-time API calls and multi-format outputs, MCP delivers instant insights, reducing technical debt and improving operational efficiency.

Upskilling and AI Adoption

Successful AI implementation goes beyond technology—it requires empowering people. Many business users lack the technical skills to query and visualize data, while IT teams often lack AI expertise. AI bridges this gap by providing intuitive, self-service tools that allow non-technical users to access insights effortlessly. Simultaneously, IT resources are upskilled to focus on maintaining and scaling AI solutions rather than performing repetitive data queries. This dual approach lowers IT overhead and accelerates decision-making across the organization.

5: AI for Proposals & Due Diligence Questionnaires

In today's competitive asset management landscape, responding to Requests for Proposals (RFPs) and Due Diligence Questionnaires (DDQs) efficiently is critical for winning new business and maintaining client trust.

These processes involve managing vast amounts of data, coordinating multiple stakeholders, and ensuring compliance with regulatory standards. AI offers a transformative approach to streamline these workflows, enhance accuracy, and improve operational efficiency.

AI for RFP and DDQ Management

Traditional RFP and DDQ processes are time-consuming and prone to inconsistencies due to the diversity of questions and data sources required to answer the questions. AI addresses these challenges by automating data management and initial response generation. These technologies can store and organize extensive datasets—such as employee bios, portfolio performance, and investment strategies—and extract relevant information to craft comprehensive answers. Moreover, AI ensures responses maintain a consistent tone aligned with the firm's branding, while also identifying gaps in source data when new questions arise. This capability significantly reduces manual effort, accelerates turnaround times, and improves the quality and consistency of responses. Sia's AI Proposal Drafting Agent streamlines this process by utilizing input data to generate well-structured proposals.

Workflow Automation and Compliance Integration

Beyond drafting responses, AI enhances the approval and compliance processes integral to RFP and DDQ management. Automated tagging of sections for subject matter expert review and real-time tracking of approval statuses streamline stakeholder collaboration. Additionally, AI-driven control mapping and categorization based on compliance frameworks ensure that responses meet internal compliance guidelines. Advanced use cases, such as process monitoring through dashboards, further strengthen governance, transparency, and risk management. By embedding these capabilities, firms can achieve higher efficiency, improved quality, and robust compliance across their client engagement processes.

Sia AI Accelerators

Sia Agents

- o AI Extraction & Summarization
- o Agentic AI & Data Quality
- o AI Powered Dashboards

Sia Workflow Automation Solution

- o Stratumn

Sia Reg Matcher

Sia Reg Review

Sia Proprietary Data

Sia MDaaS

Sia Strategic Assessment & Implementation Offerings

- o AI Maturity Assessment
- o AI Powered Data Catalogues
- o Model Context Protocol



/ Conclusion

Artificial Intelligence has moved from experimentation to essential infrastructure in asset management, enabling firms to address rising regulatory demands, escalating market data costs, and intensifying client expectations with greater speed, precision, and resilience. As demonstrated across regulatory compliance, market data optimization, corporate actions, data insights, and client engagement, AI transforms fragmented, manual processes into integrated, intelligent operating models that reduce risk, improve transparency, and unlock measurable efficiency gains.

Organizations that embed AI thoughtfully—combining strong data foundations, governance, and workforce enablement—will not only achieve near-term operational benefits, but also position themselves for sustained competitive advantage in an increasingly complex and dynamic industry



Optimists for change

Sia is a next-generation, global management consulting group—born digital, augmented by data, enhanced by creativity, and driven by responsibility. We partner with clients to resolve challenges and capitalize on opportunities. We believe that in today's world of change and disruption, optimism is a force multiplier.