

Swiss Bank Gains Control in a High-Stakes Regulatory Investigation

Lineal helped a leading Swiss bank rapidly bring order, clarity, and defensibility to a 1.2M-record regulatory inquiry—despite strict data-sovereignty controls and an environment that prohibited traditional analytics and AI.

CHALLENGE

A major Swiss bank faced an urgent regulatory investigation into global Sales and Marketing practices. Regulators sought clear evidence addressing concerns around product mis-selling, disclosure accuracy, and fiduciary obligations. Without a way to unify emails, chats, and financial activity, the evidentiary “story” regulators demanded would remain obscured.

OUR APPROACH

Lineal deployed its expert-led Amplify review program—engineered for speed and precision in tightly constrained environments.

1. Smart Batching & Intelligent Workflows:

Consultants designed batching that grouped documents by communication pattern, language, custodian, behavioral signals, and topic proximity—all without cloud-based analytics. Reviewers received clean, coherent workstreams rather than chaotic queues.

2. Rapid Culling & Categorization:

Using metadata clustering, communication-pattern analysis, repetitive-pattern detection, privilege surfacing, and contextual grouping. More than half of all records never required eyes-on review.

3. Structured Data Integration:

Lineal normalized and connected the bank’s large financial dataset—correlating key fields such as transaction type, region, custodian, product, and customer segment. This exposed linkages between human intent in communications and financial outcomes—critical in mis-selling and fiduciary-duty inquiries.

4. Regionally Distributed, Coordinated Review:

Three in-country review teams maintained compliance with regional restrictions while following a unified global workflow designed by Lineal.

33%

Culled

Pre-Review

1.2M

Records

Across Email,
Chat & Structured
Data

OUTCOME

In four weeks, the bank regained full control of the investigation:

- A consolidated, regulator-ready narrative connecting communications to transactional data
- A significantly reduced review population focused on key risk areas
- Rapid identification of mis-selling patterns and disclosure gaps
- A defensible submission delivered on time

The regulatory inquiry closed without penalty.