AI Governance & Regulatory Risk Assessment

Who this is for

- PE diligence teams or portfolio executives needing clarity on AI risks (bias, privacy, compliance, security).

What we deliver

- AI Governance Risk Report (~30 pages) with prioritized remediation actions.

Decision snapshot (IC-forwardable)

- Deal protections (reps/warranties, holdbacks) and roadmap to de-risk AI posture.

Delivery mechanics (Scope & Timeline)

- Model inventory & documentation review; regulatory compliance checklist; bias/fairness testing (where applicable); security/contingency posture; risk quantification & recommendations.
- Timeline: 4–6 weeks; or add-on module alongside core Tech DD

Minimum data/access to start

- Model list, data sources/lineage, documentation, access to owners, sample outputs.

Why AlphaStratz — Enhanced Credentials

- Former Gartner Executive Partner; evidence-backed underwriting discipline.
- 20+ years enterprise architecture: Microsoft (VP), Federal Reserve Bank (Digital Transformation Lead), Deloitte, Thoughtworks.
- TOGAF 9 Enterprise Architect; J.D., MBA.
- Delivered $3B pharmaceutical carve-out 3 months early with $24M TSA savings.

Proven at Scale

- Platform integrations supporting 5+ sequential bolt-on acquisitions.
- Technology separations across 15+ countries; 47 applications; 62-person team transfer.
- Portfolio work across $50M–$500M middle-market PE transactions.
- Built practices from zero to $25M+ annual revenue; led 30+ distributed technical staff.
- 30+ state CIO relationships; surge-bench SMEs (security, data, cloud, AI).

Prepared by AlphaStratz™ | Technology-to-EBITDA Architecture for PE
Ralph Kindred, Founder & Principal — Former Gartner Executive Partner | Microsoft VP Enterprise Architecture | Federal Reserve Bank Digital Transformation Lead
TOGAF 9 Enterprise Architect | J.D., MBA

Confidential — AlphaStratz™ | Where Tech Meets EBITDA.

AI Governance & Regulatory Risk Assessment cont'd.

Regulatory & Compliance Credentials

- SOX 404 IT controls; SOC 2 readiness.
- HIPAA safeguards; FDA SaMD (AI/ML); GxP compliance.
- GDPR Article 32 TOMs; PCI-DSS; GLBA; FedRAMP Moderate.
- NIST CSF assessments (Identify, Protect, Detect, Respond, Recover).

Representative Outcomes (Anonymized)

- $3B pharma carve-out: delivered 3 months early; $24M TSA savings.
- SaaS platform integration: identified $8M hidden API technical debt pre-close.
- Cloud FinOps diagnostic: $1.8M annual run-rate savings; +340 bps margin expansion.
- Buy-and-build program: avoided $12M+ future costs via integration architecture remediation.
- Retention validation: 8-point NRR gap vs management claim; $4.2M revenue variance impact.

Fit + Next step — Enhanced

- Best fit: buy-and-build platforms (integration scorecards); carve-outs with separation complexity swinging $5M–$15M valuation; SaaS/platforms where technical debt affects scalability; $50M–$500M transactions where Big Four overhead doesn't fit timeline/budget.
- Confidence: If seller kills deal, 50% credit to your next DD; transparent scope/pricing/timeline; kickoff + data request within 24–48 hours; references available.
- Next: 30-minute discovery this week → proposal in 48 hours → start in 3–5 business days from SOW.

Commercials

Pricing: $50K–$75K standalone; ~$30K as add-on