

Cappitech Consulting

Who We Are?

Cappitech Consulting is made up of a team of experienced industry practitioners and subject matter experts who empower financial institutions to navigate complex trade and transaction regulatory reporting landscapes with confidence, build operational resilience, and focus on strategic growth.

What We Do?

We deliver bespoke, technology-agnostic solutions tailored to your unique reporting needs—from targeted assessments and regulatory-accurate integrations to managed reporting services and expert guidance. We give you the confidence to stay compliant, whether you report via Cappitech SaaS or not.

Health Assessment

A targeted, modularized diagnostic review of your regulatory reporting framework to identify gaps in reporting data against regulatory standards, delivering clear insights and a prioritized remediation roadmap ensuring completeness, accuracy and timeliness going forward.

Expert Ad hoc Support

We provide access to regulatory experts on your terms—from one-off reporting submissions and historical remediation to dedicated SME resource augmentation. Our flexible engagement model ensures you have the right expertise at the right time—without overextending your internal teams.

RegOps Managed Services

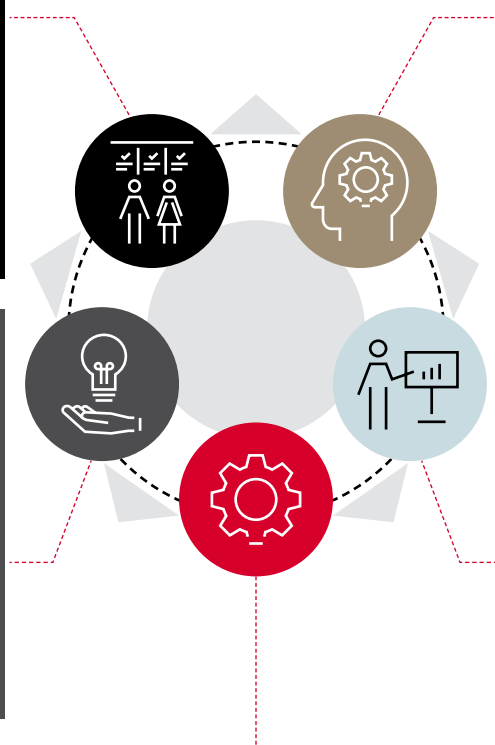
Our subscription-based service delivers end-to-end outsourcing for daily regulatory reporting operations. We manage the full reporting lifecycle and mandatory controls across jurisdictions and asset classes—providing predictable costs, deep expertise, and operational resilience so you can focus on your core business.

Training & Development

Our customized training program bridge the gap between current operational challenges and a future-ready regulatory function—building resilient teams with deep expertise, consistent global execution, and a proactive ownership culture.

Enhanced Integration

Our experts supports your regulatory reporting integrations from data extraction to final submission—encompassing data lineage, ETL mapping to regulatory & TR specifications—supporting platform onboarding, new products, system changes, and regulatory updates for complete, accurate reporting.



Get in Touch

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🌐 <https://www.cappitech.com/intelligence-solutions/cappitech-consulting/>

📞 Americas +1-800-786-8980 EMEA +44-20-7176-9500 Asia-Pacific +852-2841-1077

Health Assessment

Uncertain about your trade and transaction reporting integrity? Our diagnostic health assessment isolates root causes of discrepancies and validates your compliance posture.



Rule Interpretation & Validation

We assess your reporting processes against regulatory requirements to uncover gaps, pinpoint discrepancies, and deliver an objective evaluation that ensures your operations stay aligned with evolving regulations and industry standards.



Data Lineage

We validate end-to-end data tracking from source systems to final submission, providing the transparency and accountability regulators demand.



Data Testing

We execute diagnostic testing against regulatory standards to isolate variances between source data and trade repository submissions, validating reporting completeness, field accuracy, and timeliness to ensure reporting obligations are met according to the latest requirements, not just minimum TR validations.



Control Framework Review

We review the design and effectiveness of your control framework to identify gaps and risks, deliver actionable recommendations that strengthen governance over reporting completeness, accuracy, and timeliness.



Industry Best Practice insight

We share insights into industry best practices that enhance compliance and operational efficiency, helping you stay ahead of evolving regulations.

Why Choose Us:



Expertise:

Our team is made up of experienced industry practitioners and industry-recognized SMEs with deep trade and transaction reporting expertise.



Comprehensive Approach:

We connect the dots across your entire reporting workflow—from data lineage to final submission—to deliver a holistic view of your reporting health.



Proven Track Record:

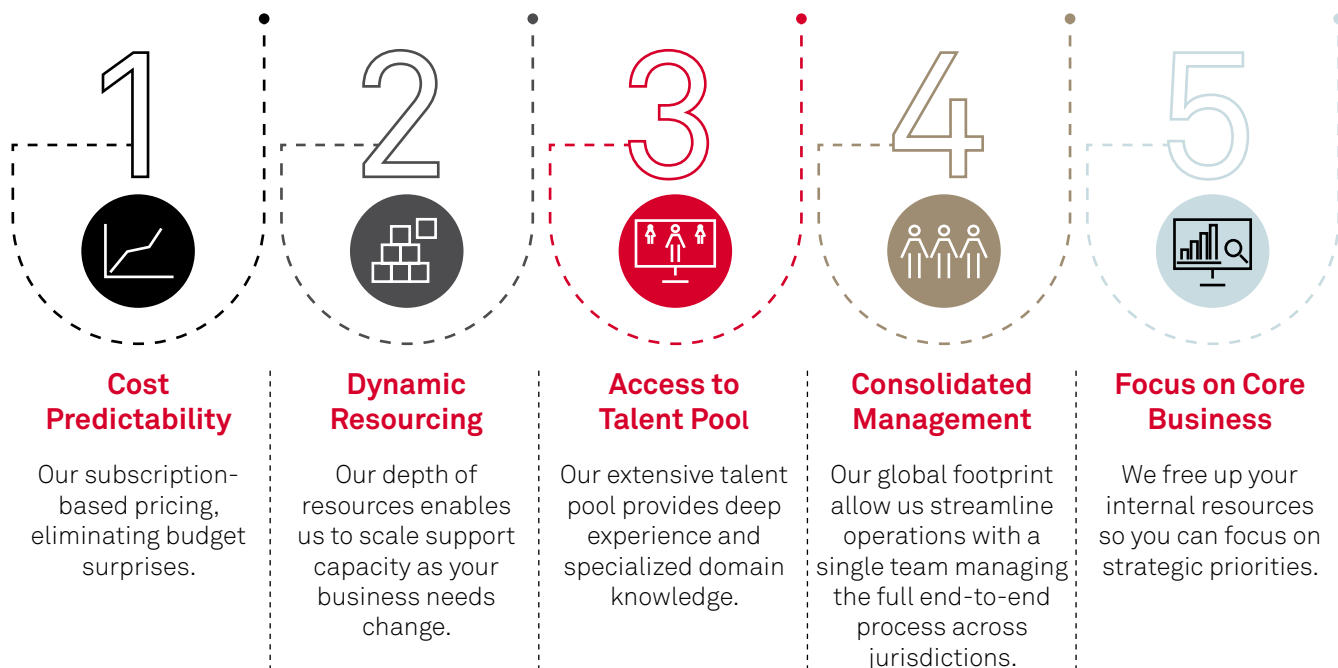
We have a proven track record helping buy-side, sell-side, and market infrastructure firms across global jurisdictions—with expertise spanning key regulatory regimes including EMIR, MiFIR, SFTR, SEC-SBSR, CFTC, MAS, ASIC, HKMA, and JFSA.

RegOps Managed Services

Stop struggling with talent gaps, resource constraints and cost overruns. Let our Managed Services handle your reporting processes end-to-end, giving you back the freedom to focus on your core business priorities.



Why Choose Us:



Scope of services

Pre-submission	Post-Submission	Change Management
• Ingestion, enrichment checks • Validation, reporting generation checks • Pre-reconciliation checks • Execution of regulatory submissions	• Exceptions management • Periodic books & records reconciliations • Pairing & matching • Errors & Omissions monitoring	• Regulatory updates • Best practice alignment • Reporting process improvement • Back-reporting/ Remediation

Enhanced Integration

Facing tight deadlines and internal SME shortages? We provide expertise and resources to accelerate your reporting implementation with confidence.

Our **Enhanced Integration** service provides end-to-end support to de-risk and accelerate your regulatory implementation while embedding data quality from the outset. This proactive approach saves you from costly remediation and back-reporting exercises down the line. Partner with us to navigate complex integrations arising from regulatory mandates or strategic transformation. We help you meet tight deadlines, ensure a future-ready framework, and build a foundation for reporting that is complete, accurate, and timely.

Key drivers:

1

On-boarding or transition to new reporting platform

2

New products or brokers on-boarding

3

Systems transformation or booking model change

4

Regulatory development and update

5

Introducing new controls such as reconciliation

How we can help



Validate data lineage / mapping & define source files requirements for downstream integration



Coordination with internal stakeholders & interface with integration team on behalf of client



Rule interpretation & advisory



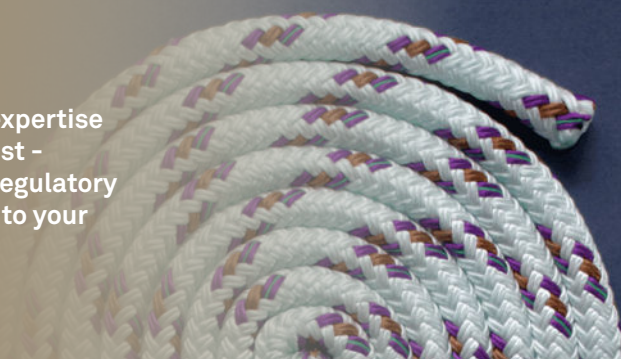
UAT test script and testing support



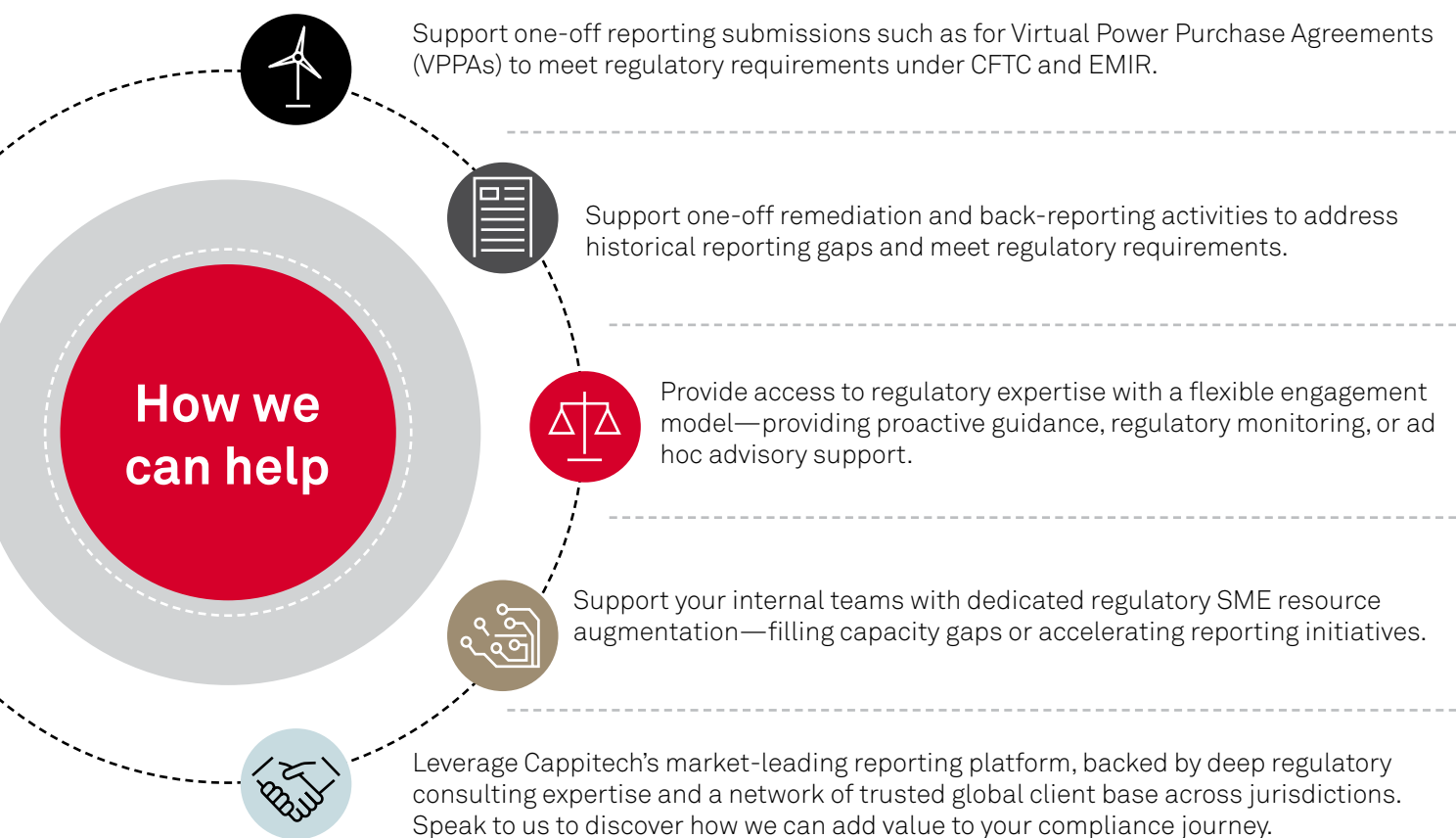
Workflow optimization base on client's be-spoke booking models

Expert Ad hoc Support

Flexible regulatory expertise
when you need it most -
Access specialized regulatory
support that adapts to your
unique challenges.



Our **Expert Ad hoc Support** service provides access to specialized regulatory support on your terms—from one-off reporting submissions and historical remediation to dedicated SME resource augmentation. Backed by our deep expertise across global jurisdictions, our flexible engagement model ensures you have the right expertise at the right time, without overextending your internal teams.



Training and Development

Close knowledge gaps. Uplift RegOps quality. Our structured curriculum upskills your team in real-world workflows, ensuring consistent exception handling and control execution—shifting the focus from ticking boxes to owning data integrity.



Cappitech's **Training & Development Program** bridges the gap between current operational challenges and a future-ready regulatory function. Our solution transforms SME attrition and training gaps into deep-seated expertise and consistent global execution. Through fully customized content, real-world use cases, and trainers who are seasoned RegOps practitioners, we empower teams with end-to-end visibility and a proactive ownership mindset. The result? Resilient teams that ensure data integrity, navigate complex reporting flows with confidence, and deliver compliance ahead of deadlines—not just by checking boxes.

Why Choose Us:



Fully customized content with real-world use cases



Train by Industry practitioners with first-hand experience



Dynamic learning experience



An integrated learning framework for new joiner training or refresher



Building a Future-Ready Regulatory Reporting Operations

