

AI for Regulatory Reporting

 Smarter Reconciliation. Faster Onboarding. Better Insights.

S&P Global Market Intelligence, Cappitech sets the global standard for regulatory reporting. AI-enabled, it transforms cross-asset, multi-jurisdictional compliance from a costly burden into a source of competitive advantage. This is achieved by automating reconciliation, accelerating onboarding, and preventing data errors before they reach regulators.

GLOBAL REGULATORY COVERAGE

DERIVATIVES	SECURITIES & MARKETS	ASSET CLASSES
ASIC · CFTC · CSA · EMIR EU · FCA EMIR · FinfraG · HKMA · JFSA · MAS · SEC (SBS)	MiFID RTS 22 · MiFID APA · SEC10c-1a · SFTR	Cash Bonds · Cash Equities · Collateral Reuse · Commodities · Credit · Equity · FX · Interest Rates · Margin Lending · Repo · Securities Lending

THREE WAYS AI TRANSFORMS YOUR COMPLIANCE TEAM

01

Proactive Pre-Submission Controls and Anomaly Detection

Before data is submitted, AI validates completeness, consistency, and regulatory rule alignment across multiple regimes. By detecting anomalies, schema violations, and identify issues early, Cappitech helps prevent rejections and shifts compliance from reactive correction to proactive control.

Your first line of defense in regulatory reporting.

02

AI-Driven Workflows

AI streamlines compliance by converting regulatory data into clear, auditable workflows. It pinpoints anomalies and threshold breaches, automatically generating AI-summaries and smart tickets to guide operational action. This empowers teams to prioritize issues faster, enabling proactive control with greater confidence.

Proactive compliance through actionable intelligence.

03

Validate and Prioritize Reconciliation Breaks

AI-enabled reconciliation automates the identification and classification of data breaks between client records, trade repositories, and counterparties. By pinpointing the most critical discrepancies, it eliminates manual triage, accelerates investigation, and shifts your team’s focus from detection to resolution.

Eliminate manual triage. Focus on the resolution.

KEY AI CAPABILITIES



Proactive Validation Control

Before submission, AI cross-checks every report against historical patterns and regulatory rules. Conflicts are flagged in real time to prevent costly rejections and reduce regulatory risk.



Automated Exception Triage

AI dynamically prioritizes exceptions by risk and materiality. This accelerates resolution, allowing teams to focus on critical issues.



Real-Time Operational Visibility and Audit Trail

Role-based dashboards provide real-time visibility into submission volumes, rejection trends, and reporting statuses across all jurisdictions. All supported by a complete, regulator-ready audit trail.



Generative AI Break Summaries

LLM-powered summaries transform complex reconciliation breaks into clear, actionable summaries, enables teams to move directly from identification to resolution.



Smart Actionable Insights

AI transforms regulatory data into forward-looking operational intelligence. It automatically surfaces root-cause hypotheses for emerging trends and converts threshold breaches into prioritized smart tickets, turning insight directly into action.



Low-Touch Onboarding

AI accelerates everything from data mapping and transformation to the application of regulatory logic, eliminating manual configuration. This enables faster, more scalable onboarding with superior data alignment across all reporting regimes.

15+

Global regulatory regimes covered

10+

Years of AI training data

30-40%

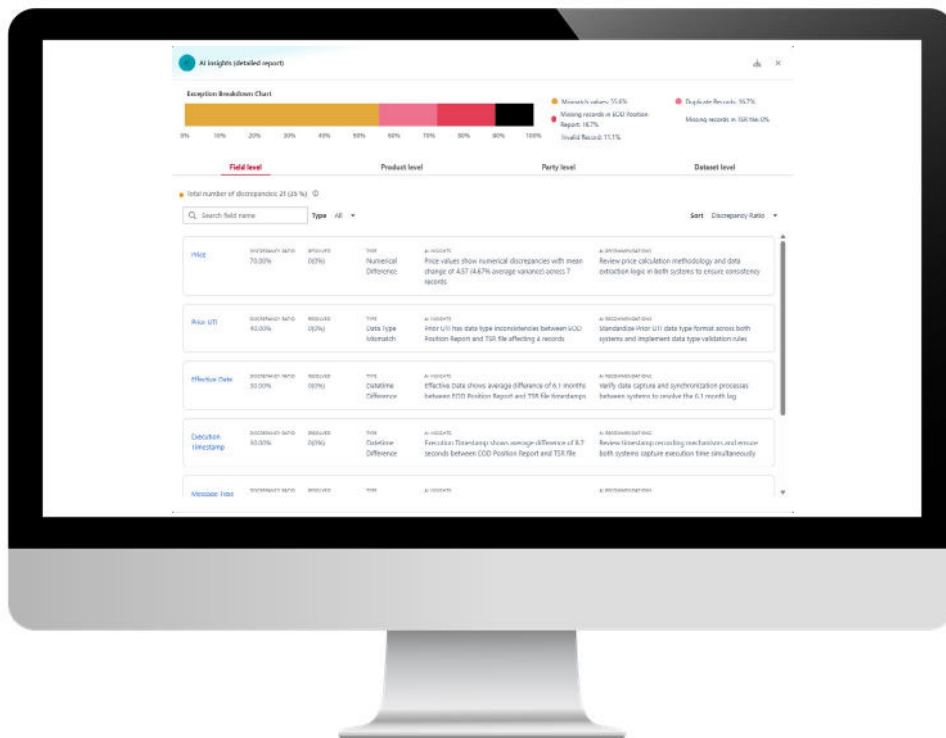
Efficiency – reduction in reconciliation breaks

20-30%

Efficiency – AI-accelerated client onboarding

Global

Trade repository connectivity



AI Insights



Cappitech AI turns reconciliation from noise into insight by pinpointing the highest-risk breaks instantly.

S&P Global Market Intelligence, Cappitech

<https://www.cappitech.com>

AI-Enabled Regulatory Reporting

Contact us to learn how Cappitech's AI capabilities can reduce your compliance burden

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