

Reg Central

TEAM CIBC

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DEPARTMENT: Regulatory

- ▶ **Timely Awareness:** Staying informed about rapidly changing regulations across multiple jurisdictions is difficult and time-consuming.
- ▶ **Quick Understanding:** Quickly comprehending the impact of complex regulatory changes to formulate action plans is a major hurdle.
- ▶ **Actionable Insights:** Translating regulatory updates into specific, relevant actions for their organization is inefficient and requires significant expertise.

- ▶ Tool provides constant vigilance and monitoring of regulatory changes.
- ▶ It also provides actionable insights and understanding of regulatory changes.

▶ **Solution Approach:**

- ▶ Our platform streamlines regulatory compliance by:
 - Centralizing regulatory updates via a chatbot, eliminating the need to visit multiple regulator websites.
 - Providing a unified interface with direct links to relevant regulations.
 - Visualizing key trends on a dashboard for efficient communication with stakeholders.
 - This solution improves efficiency and ensures timely, informed compliance decisions.

▶ **Solution:**

- Our product is a centralized interface for Reg changes management and chatbot for Real time interaction . It enables our users to quickly query changes worldwide and allow them to focus on changes that matter to them.

- ▶ **Key Features:** *Highlight the core features of your solution that solve the problem effectively.*
 - User friendly UI for regulatory changes with key metrics and an interactive chatbot.
 - Stores data in lightweight JSON format, thus enables faster response.
 - Centralized integration of key components
 - Enables email notifications

- ▶ **Why did we use Claude?**
 - Claude's artifacts feature enhances chat interactions, providing a cleaner, more interactive workspace.
 - Claude offers a larger context window, allowing detailed analysis of lengthy content for research.
 - Provides well-structured response and more intuitive answers

▶ Tech Stack Overview:

- Programming languages used is Python
- AWS services: Bedrock, LEX, Streamlit, Lambda function and Cloud watch
- data scrape: Beautiful Soup

▶ Data Usage: *Explain how you effectively used data (e.g. sources, preprocessing, feature engineering)*

- Data sources:
 - Real time scraped data by Beautiful Soup is stored in Amazon S3 bucket
 - Cloud watch schedules Lambda to run periodically and scrap new data.
 - Data feed from the websites through the web crawler.

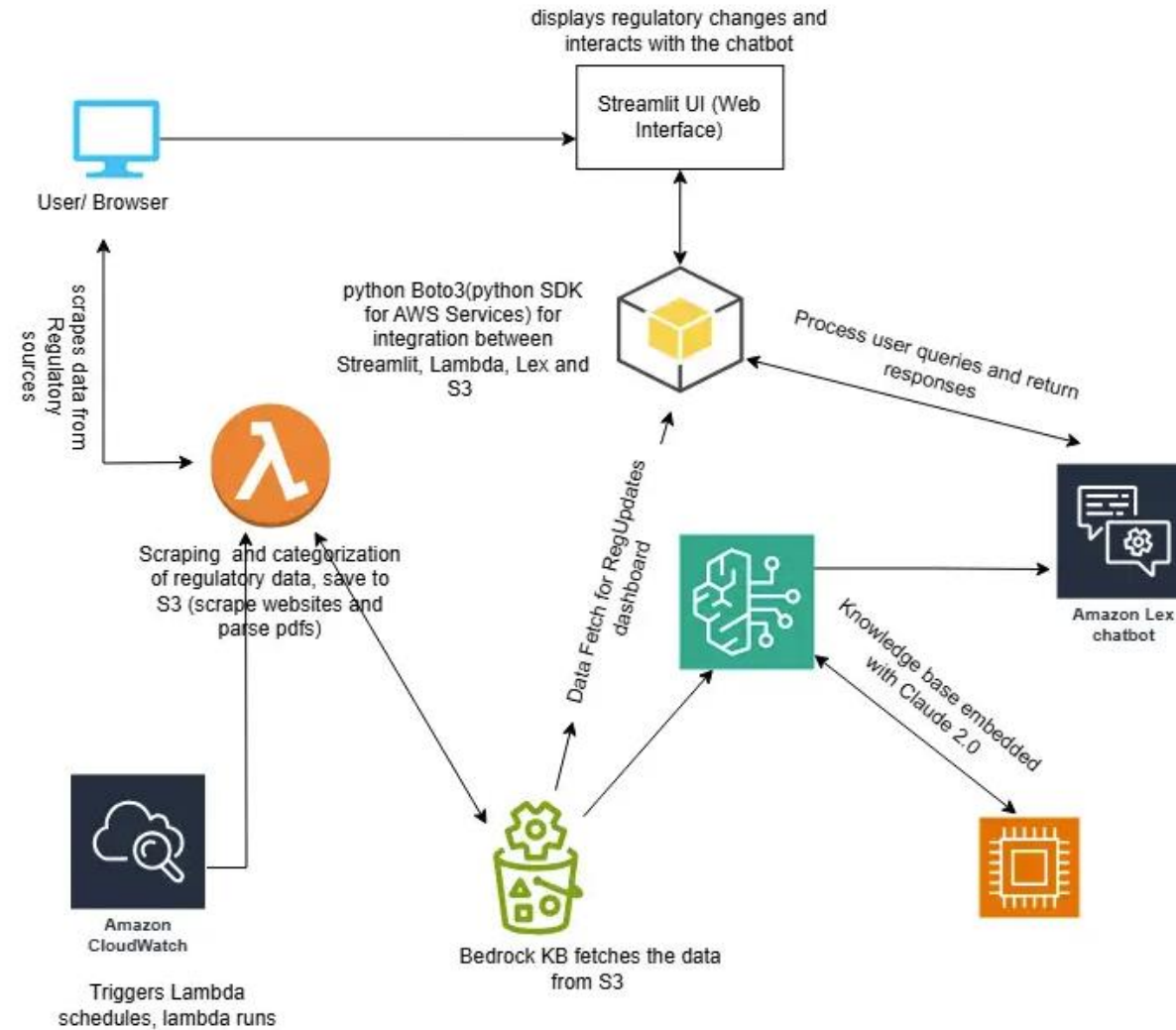
▶ AI:

- Bedrock:
 - For search and querying: Amazon bedrock Knowledge Base uses the data source from S3 that is integrated with Claude 2.0
- Lex bot:
 - Amazon Lex is used to created conversation AI chatbot integrated with amazon knowledgebase to generate detailed and context-aware answer

Technical Implementation continued..

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RegCentral Architecture:



- ▶ UI: <http://cibc-reg-central-env.eba-iy9mknap.us-west-2.elasticbeanstalk.com/>

Lex Chatbot

Ask any question related to regulatory updates

Enter your question:

Did CSA issue any guidance on use of AI systems in Capital Markets?

Ask Bot

Bot: Yes, the Canadian Securities Administrators issued guidance on the use of AI systems in capital markets through Staff Notice and Consultation 11-348.

CFTC News Update

Inbox x

hackathoncibc@gmail.com

to me

New regulatory updates available for CFTC:

title

link

date

CFTC Announces Prediction Markets Roundtable

<https://www.cftc.gov/PressRoom/PressReleases/9046-25>

02/05/2025

Florida Court Orders Brazilian Nationals to Pay Over \$128 Million for Fraudulent Commodity Pool Scheme

<https://www.cftc.gov/PressRoom/PressReleases/9045-25>

02/04/2025

CFTC Division of Enforcement to Refocus on Fraud and Helping Victims, Stop Regulation by Enforcement

<https://www.cftc.gov/PressRoom/PressReleases/9044-25>

02/04/2025

CFTC Staff Issues No-Action Letter to Korea Exchange Concerning the Offer or Sale of KOSPI and Mini KOSPI 200 Futures Contracts

<https://www.cftc.gov/PressRoom/PressReleases/9043-25>

02/04/2025

CFTC Staff Issues Supplemental Letter Regarding No-Action Position on Reporting, Recordkeeping Requirements

<https://www.cftc.gov/PressRoom/PressReleases/9042-25>

02/04/2025

Regulatory Updates

Select a Regulatory Body:

CFTC

Latest Update from CFTC




	title	link	date
0	CFTC Announces Prediction Markets Roundtable	https://www.cftc.gov/PressRoom/PressReleases/9046-25	02/05/2025
1	Florida Court Orders Brazilian Nationals to Pay Over \$128 Million for Fraudulent Commodity Pool Scheme	https://www.cftc.gov/PressRoom/PressReleases/9045-25	02/04/2025
2	CFTC Division of Enforcement to Refocus on Fraud and Helping Victims, Stop Regulation by Enforcement	https://www.cftc.gov/PressRoom/PressReleases/9044-25	02/04/2025

DTCC Public (White)

- ▶ Reg Central is the automation platform that enables analysts to query new changes and rules made by regulators worldwide.
 - It brings efficiency and saves time for Regulatory operation team. This platform can be used by change management, business analysts or anyone in the firm.
 - This platform not only enables user to get answers to his specific question, but also enables him to understand the wholistic picture by looking at trends.

Appendix

Judging Criteria and Scoring

	Metric	Title	Maximum Score
Technical Innovation 	Innovation and Originality of Solution Design	Does the solution have a creative approach to solve the problem? Was AI used effectively to derive the solution? Judges will evaluate the uniqueness of the solution, the creative approach to solving the use case.	15
	Technical Implementation	The quality and sophistication of the solution's architecture, design, tech stack, industry frameworks and efficiency of the solution.	10
	Solution Viability	Solution's potential for operationalization and enterprise use.	10
	Data Usage and Management	The effective use of provided datasets or external data sources, data preprocessing and feature engineering techniques, and handling of data privacy and security concerns will be evaluated.	10
	Ease of Use	Does it have a user-friendly interface? Can a user use the product with minimum instructions.	5
Value Proposition 	Industry Impact and Viability	Potential value to the Capital Markets industry broadly, market scalability, and revenue generation or cost-saving potential of the solution.	20
	Industry Collaboration (Bonus for "super teams")	Does the implementation (or future phases of the implementation) facilitate/require collaboration across at least 2 or more industry participants? (e.g., through data sharing or other methodologies).	15
Final Presentation and Demo 	Clear Presentation of Problem and Solution	A clear explanation of the problem and solution, the quality of the pitch or demo, and technical design documentation of the project will be important factors.	15
	Effective handling of Q&A		
	Technical Design Documentation		
	Bonus- visual appeal of presentation material		