

Use Cases

Department	Use Cases	Regulatory Documents & Guidelines	Benefits of Compliance Checker	Benefits of Document Summarization	Benefits of Document Comparison
Investment Banking	Review of financial models, deal documents	SEC regulations, Dodd-Frank Act	Ensures adherence to financial regulations and risk management protocols	Quick overview of lengthy financial reports and deal summaries	Compare current documents with historical deals for consistency
Equity Research	Publication of research reports	FINRA rules, SEC guidelines	Prevents conflicts of interest and insider trading	Summarizes complex research for rapid assessment	Highlights changes in research methodologies or findings
Credit Reports	Assessment of credit risks, loan approvals	Basel III, local credit regulations	Maintains credit risk frameworks and compliance with capital requirements	Simplifies complex credit agreements and risk assessments	Ensures consistency in credit analysis documents
Operational Risk (Op Risk)	Risk management processes, audit trails	Basel III, COSO Enterprise Risk Management Framework	Improves risk assessment and mitigation strategies	Summarizes risk management frameworks and findings	Compares historical and current risk management strategies
Compliance	Regulatory audits, compliance checks	Dodd-Frank Act, Anti-Money Laundering (AML) standards	Ensures ongoing compliance, identifies gaps in controls	Provides summaries of audit findings and compliance statuses	Compares compliance over different periods to gauge improvements
Model Risk	Validation and monitoring of financial models	SR 11-7 guidance, Basel III	Ensures models are compliant and accurately risk-weighted	Quick access to model validation summaries and issues	Compares model adjustments over time to assess enhancements

Electronic Trading	Algorithmic trading, system checks	MiFID II, Reg NMS	Enhances the reliability and compliance of electronic trading systems	Summarizes algorithmic trading rules and system requirements	Compares current system settings to compliance benchmarks
Payments Failures	Payment system integrity, fraud prevention	PSD2, Electronic Fund Transfer Act	Minimizes payment system risks and fraud	Provides clear summaries of payment protocols and issues	Enables comparison of current and past failure incidents to improve systems
Legal and Compliance	Legal checks, regulatory filings	Sarbanes-Oxley Act, local legal requirements	Avoids legal penalties and enhances regulatory compliance	Facilitates quick review of compliance statuses and issues	Ensures all filings are up to date and consistent with previous filings
Model Risk	Validation and monitoring of financial models	SR 11-7 guidance, Basel III	Ensures models are compliant and accurately risk-weighted	Quick access to model validation summaries and issues	Compares model adjustments over time to assess enhancements
Disclosure Requirements	Reporting obligations, transparency	SEC disclosures, EU Transparency Directive	Ensures accurate and timely public disclosures	Offers quick reviews of compliance with disclosure standards	Facilitates consistency checks between reports
Reporting Technology	Data reporting and analytics	GDPR, CCPA, SOX	Ensures data integrity and compliance with privacy laws	Provides executives with summarized reporting data	Tracks changes in data reporting practices
Regulatory Guidelines (CCAR, EBA etc)	Capital adequacy and stress testing	Comprehensive Capital Analysis and Review (CCAR) and European Banking Authority (EBA) guidelines	Ensures financial resilience and regulatory capital sufficiency	Summarizes capital requirements and stress testing outcomes	Compares current capital strategies with past reviews
Audit	Internal audits and external	ISO 19011, Generally Accepted	Enhances transparency and	Summarizes audit findings and recommendations	Provides comparison of audit outcomes

	compliance verification	Auditing Standards (GAAS)	accountability in operations		over different periods
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