

## Built for Clarity. Trusted for Compliance.

 **Factsheet**

Regulation is expanding, expectations are rising, and firms must evidence not just what they do—but how they do it.

Spreadsheets, manual mapping, and fragmented governance frameworks can't keep pace with today's operational and regulatory demands.

In this environment, "we think we're compliant" is no longer enough.

### **RegToolKit® is built for this exact challenge.**

Available alongside AutoRek's reconciliation platform, RegToolKit transforms complex rule books into structured, actionable processes. It gives firms a single system to interpret regulations, map obligations, track controls, capture evidence, and manage non-compliance—end to end.

It brings clarity to compliance, confidence to operations, and transparency to audits.

### **Key Business Benefits**



#### **Operational Control**

Map rules to risks and controls, assign ownership, and track execution. Every procedure becomes transparent, traceable, and fully evidenced.



#### **Multi-Rulebook Coverage**

Use RegToolKit for FCA rulebooks, internal governance frameworks, or any custom regulatory obligations—all within one platform.



#### **Regulatory Clarity**

A golden source of rulebooks—automatically ingested, deconstructed, and kept up to date. Firms gain complete visibility of obligations across CASS, SYSC, COBS, DISP, internal frameworks, and more.



#### **Audit Readiness**

Continuous evidence capture and structured non-compliance management ensure firms are always prepared for internal audit, external audit, or regulatory review.

# When Governance Becomes Intelligence

Imagine compliance without ambiguity. Imagine every team knowing exactly what they must do—and being able to prove they've done it.



## Core Capabilities

### Automatic Rulebook Ingestion

- Direct connectivity to regulators (e.g., FCA API/JSON)
- Monthly ingestion of updated rulebooks
- Always-current, searchable regulatory content

### Rule Applicability & Interpretation

- Define in-scope and out-of-scope rules per legal entity
- Apply negative assurance and business interpretation
- Build a clear, defensible regulatory footprint

### Risk & Control Libraries

- Maintain electronic libraries of risks and controls
- Link risks to rules and controls to risks
- Support ongoing review, attestation, and ownership

### Rule–Risk–Control Mapping

- Create a full three-way relationship across the governance framework
- Surface control gaps and areas for strengthening
- Generate point-in-time reports for stakeholders

### Electronic Breach Register

- Record, review, and approve breaches
- Identify failed controls and recurring weaknesses
- Track remediation and build a rich dataset for improvement

### Resolution Pack (CASS 10/10A)

- Maintain all required documentation electronically
- Enforce regular review and attestation
- Run mock FCA retrieval tests to ensure readiness

When compliance matters. Be sure.

Get ready to transform your regulatory reporting.

Book a demo >

