



ReguShield AI

PILOT SUCCESS KIT

PILOT DOCUMENTATION

Decision-Support Disclaimer

Part of the ReguShield AI Pilot Success Kit — everything your team needs to run a successful compliance-intelligence pilot.

Customer-facing notice on the intended use and limitations of ReguShield AI.

1. ReguShield AI Is Decision-Support, Not Legal Advice

ReguShield AI provides **compliance intelligence and decision-support** for regulated businesses. It is an **operational intelligence layer** designed to help compliance teams interpret operational data against regulatory frameworks.

ReguShield AI is **not**:

- **Legal advice.** Nothing produced by the platform constitutes legal advice or creates a lawyer–client relationship. For legal questions, consult qualified legal counsel.
- **A regulatory determination.** Outputs, scores, narratives, and recommendations do **not** constitute a determination, ruling, or assurance by any regulator or supervisory authority, and do not bind any such authority.
- **A substitute for a qualified compliance officer.** The platform supports — it does not replace — the professional judgement of a qualified compliance officer or other authorised personnel.

2. AI-Generated Outputs Support, Not Replace, Human Judgement

ReguShield AI generates risk scores, narratives, regulatory mappings, and recommended actions to **support** human decision-making. These outputs:

- Are **inputs** to a human decision process, not final decisions.
- Are **deterministic and/or AI-assisted** and may reflect the limitations of the underlying logic, models, and the data provided.
- May contain errors, omissions, or assumptions that do not reflect a specific Customer's full regulatory context.
- Must be **reviewed, validated, and approved by the Customer's authorised personnel** before being relied upon or acted on.

The Customer remains solely responsible for all compliance decisions and outcomes.

3. Regulatory Actions Remain With Authorised Personnel

The following actions must be performed, reviewed, and submitted only by the Customer's **authorised personnel**, and are outside what ReguShield AI performs or warrants:

- Filing of **suspicious-transaction reports (STRs)** / suspicious-activity reports.
- Completion and approval of **customer due diligence (CDD)** and enhanced due diligence (EDD).
- **Supervisory and regulatory filings, notifications, and submissions** of any kind.
- Any reporting to, or communication with, a competent authority or supervisor.

ReguShield AI does not file, submit, or transmit any report to any regulator or authority on the Customer's behalf.

4. Frameworks Referenced

ReguShield AI maps operational data and provides intelligence in relation to frameworks including:

- **AMLA 2027** — EU Anti-Money Laundering Authority and supervisory framework
- **AMLR** — EU Anti-Money Laundering Regulation
- **AMLD6** — Sixth Anti-Money Laundering Directive
- **MiCA** — Markets in Crypto-Assets Regulation
- **DORA** — Digital Operational Resilience Act
- **EU AI Act** — Artificial Intelligence Act
- **FATF Travel Rule**

References to these frameworks are provided for **decision-support and educational context only**. They are not a certification of compliance with, or a guarantee of conformity to, any framework. Regulatory requirements evolve and may be subject to interpretation; the Customer is responsible for confirming the current applicable requirements with qualified advisors.

5. Simulated and Non-Live Data Sources

Some elements of the platform are **simulated** for evaluation and illustration purposes unless a live data provider has been explicitly enabled and confirmed for the Customer's workspace. In particular:

- Certain **regulatory-change feeds and intelligence updates** are simulated, hardcoded sample events labelled as such in the interface, and do **not** represent a live regulator feed.
- Certain **compliance-deadline / regulatory-calendar entries** are simulated reference data labelled as such, and do **not** represent a live regulatory calendar.
- The **compliance copilot / Q&A** features provide deterministic, keyword-matched responses for evaluation and may not reflect a live, model-generated answer or the latest regulatory position.
- **Investor demo and sample-sector data** are synthetic and never represent real Customer records.

The Customer must not treat simulated content as authoritative, current, or complete, and must independently verify any regulatory dates, changes, or requirements before acting.

6. Intended Use

ReguShield AI is intended to be used:

- By **qualified compliance professionals** and authorised personnel of regulated businesses.
- As a **supporting tool** within an established compliance programme that includes human review and approval.
- With **accurate, lawful, and appropriately permissioned data** provided by the Customer.

ReguShield AI is **not** intended to be used as the sole basis for any compliance, legal, financial, or regulatory decision, nor by individuals without the appropriate authority and expertise.

7. Limitations

- Outputs depend entirely on the **quality, accuracy, and completeness of the data** provided by the Customer. Incomplete or inaccurate inputs produce unreliable outputs.
- The platform may be unavailable, may change, and — during a pilot — operates as a **non-production evaluation environment** (see the Pilot Support Service Description, [07-Pilot-SLA.md](#)).
- No representation is made that the platform is error-free, that its outputs are exhaustive, or that they reflect every applicable obligation.
- ReguShield AI does **not** currently hold ISO 27001 or SOC 2 certification (these are on the roadmap and must not be assumed to be held).

8. Customer Responsibility — Summary

ReguShield AI provides decision-support only. All compliance, legal, and regulatory decisions — including STR filing, CDD completion, and supervisory submissions — rest solely with the Customer's authorised personnel, who must independently review and validate every output before relying on it. ReguShield AI is not legal advice and is not a regulatory determination.

9. Questions

For questions about this disclaimer or the intended use of the platform, contact hello@regushield.ai.

This disclaimer forms part of the ReguShield AI pilot documentation and should be read together with the Terms and Pilot Agreement ([11-Terms-and-Pilot-Agreement.md](#)) and the Data Processing Agreement ([10-DPA-Template.md](#)).