

## REGULATORY FILING PACKAGE

# Sample EU AI Act Supervisory Filing — Q1 2026

[Sample Organization]

Filing ID	2759b4a8-9d5a-4240-9106-dbf07d5bb7ed
Generated	2026-04-03T08:43:18.702Z
Submitted By	Chief Compliance Officer
Reporting Period	2026-03-15 to 2026-04-01
Frameworks	EU AI Act, SR 11-7, MiFID II
Total AI Decisions	32,420
Human Review Rate	0.00%
Ledger	Hedera Consensus Service - Mainnet
HCS Topic	0.0.10416909
Signing Algorithm	ML-DSA-65 (NIST FIPS 204)

**CRYPTOGRAPHIC PROOF OF RECORD**

All records are signed with ML-DSA-65 (NIST FIPS 204) and anchored to Hedera Consensus Service mainnet. Independent verification:

<https://hashscan.io/mainnet/topic/0.0.10416909>

# 1. EXECUTIVE SUMMARY

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This filing package documents AI decision compliance for **[Sample Organization]** covering the period 2026-03-15 through 2026-04-01. A total of **32,420 AI decisions** have been cryptographically attested and anchored to the Hedera public ledger using post-quantum ML-DSA-65 signatures (NIST FIPS 204). Each record is independently verifiable without Rubric Protocol's participation.

Total AI Decisions Attested	32,420	✓ LOGGED
Human Review Events	2	✓ DOCUMENTED
Registered AI Agents	1	✓ REGISTERED
Registered Model Versions	1	✓ REGISTERED
Active Compliance Windows	1	✓ ACTIVE
Cryptographic Ledger	Hedera HCS Mainnet	✓ ANCHORED

## 2. EU AI ACT COMPLIANCE EVIDENCE

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Target Authority: National competent authority per EU member state

### Articles Addressed

- Article 12 - Logging & traceability
- Article 13 - Transparency
- Article 14 - Human oversight
- Article 17 - Quality management

### Evidence Summary

Evidence Item	Count	Notes
AI Decisions Logged	32,420	Cryptographically attested
Human Oversight Events	2	Reviewer identity recorded
Registered AI Agents	1	DID-linked identities
Registered Model Versions	1	Hash-committed
Active Compliance Windows	1	Time-bounded

### 3. SR 11-7 COMPLIANCE EVIDENCE

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Target Authority: Federal Reserve / OCC

#### Articles Addressed

- Section III - Model development
- Section IV - Validation
- Section V - Ongoing monitoring

#### Evidence Summary

AI Decisions Logged	32,420	Cryptographically attested
Human Oversight Events	2	Reviewer identity recorded
Registered AI Agents	1	DID-linked identities
Registered Model Versions	1	Hash-committed
Active Compliance Windows	1	Time-bounded

## 4. MIFID II COMPLIANCE EVIDENCE

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Target Authority: National competent authority / ESMA

### Articles Addressed

- Article 25 - Suitability
- Article 16 - Record keeping

### Evidence Summary

Evidence Item	Count	Notes
AI Decisions Logged	32,420	Cryptographically attested
Human Oversight Events	2	Reviewer identity recorded
Registered AI Agents	1	DID-linked identities
Registered Model Versions	1	Hash-committed
Active Compliance Windows	1	Time-bounded

## 5. HUMAN OVERSIGHT LOG

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Review ID	Reviewer	Role	Decision	Date
63c1155c-65ec-4c...	jane.smith@bank.com	Senior Credit Officer	APPROVED	2026-04-03
aab7db9c-cc22-47...	jane.smith@bank.com	Senior Credit Officer	APPROVED	2026-04-03

## LEGAL CERTIFICATION

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This filing package was generated by Rubric Protocol, operated by Echelon Intelligence Group LLC (Wyoming). All attestation records are cryptographically signed with ML-DSA-65 (NIST FIPS 204) post-quantum signatures and anchored immutably to Hedera Consensus Service mainnet. Records cannot be altered retroactively. This document constitutes a tamper-evident compliance record under the referenced regulatory frameworks.

### Document Integrity Hash (SHA3-256)

81338d24cfaef1b02c743e106440787f96f0dc5966d4604935cc68c2d81f58d4

### Signature Block

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