

Sophia is Changing Compliance as You Know It

Built by Pre8Us. Sophia leverages Agentic AI to digitize compliance workflows, reduce risk, and empower your team to focus on higher-value tasks.

Product Overview

Sophia is an autonomous, Agentic AI-based Digital Employee, purpose-built for compliance teams at RIAs and Asset Management firms. She brings scalable intelligence to routine workflows, enabling proactive risk mitigation and compliance agility.

Key Features & Capabilities

Trained specifically on financial regulations and guidelines, Sophia understands the complexities of compliance frameworks such as SEC, FINRA, and MiFID II, and applies this expertise across its functions.

Adaptive Automation

Sophia performs tasks such as monitoring regulatory changes, drafting filings (e.g., ADV, 13F, Form PF), generating compliance reports, and surfacing risk insights—with minimal human intervention.

Customizable Workflows

Compliance teams can tailor workflows, logic rules, and review checkpoints to align with firm-specific policies and regulatory obligations.

Built For Scale

Whether you manage \$100M or \$100B in assets, Sophia scales with your business, offering cost-effective automation that grows with compliance complexity.

Tech Stack

Model Development

- Proprietary fine-tuned language models
- Dense retrieval of regulatory data
- Supervised training on financial compliance tasks
- Model performance monitoring
- Continuous evaluation & refinement

Agent Framework

- Open LLM
- Orchestration using LangChain / LangGraph
- Autonomous agent workflow engine
- Custom agent code using Python
- Continuous evaluation & refinement

Security and Compliance

- Hosted in a virtual private cloud (AWS VPC)
- End-to-end encryption (in transit and at rest)
- Role Based Access Control (principle of least privilege)
- Continuous monitoring and alerting
- Audit controls and reporting