Flatirons AI

GEN-AI APPLICATIONS GROUNDED IN COMPLIANCE

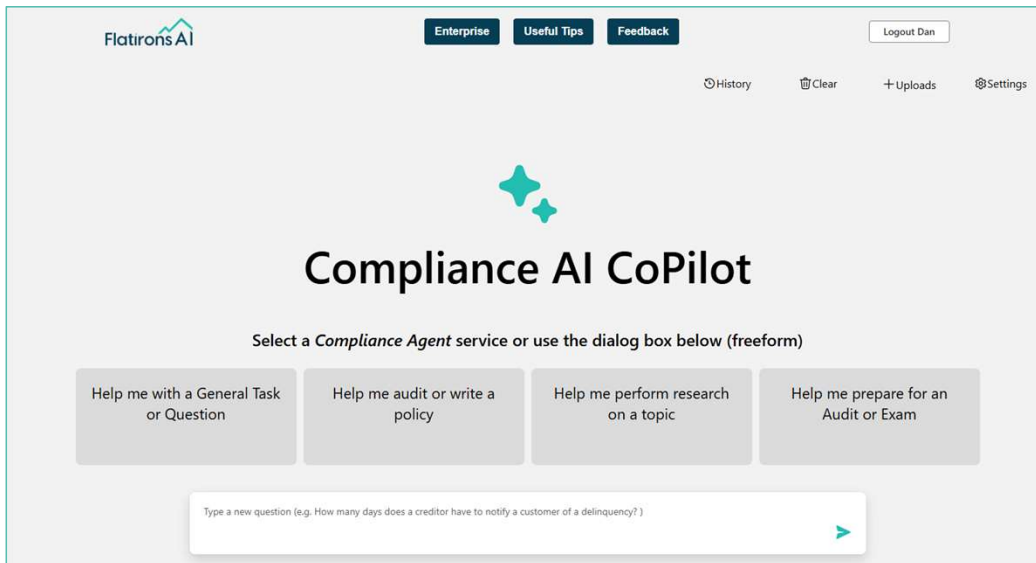AI That Speaks Your Language™

Compliance AI Base System

- Data Sources: a comprehensive collection of rules and regulations in banking, lending, securities trading and card network rules.

- Capable of answering regulatory questions, drafting sample polices, providing guidance for regulatory issues/incidents, employee training, and drafting compliant communications.

- Follows a conversational flow to support follow on questions (e.g., 'what else should I know'?)

- Shareable results: copy, download, email, stored to user history

- Fully hosted in Microsoft Azure, leverages Azure AI services, and Active Directory for user authentication and permissions.

- Complements corporate governance programs for compliance and audit

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Product Overview

- Compliance AI Co-Pilot **fundamentally transforms compliance.** Leveraging the Azure AI infrastructure, our AI technology serves as the research, content and delivery arm of the compliance team.

- Adding client-specific data sets, the system becomes a compliance expert on your business and can serve the enterprise in a variety of ways.

- Compliance AI Agents simplify difficult compliance tasks and allow users to quickly become proficient with AI services.

Sample Industry Data Sources for Compliance AI

Leverage a Variety of Enterprise Data

Governed By:

- User profiles
- Permissions
- Updating schedules or
- ad hoc (e.g., new regs)
- Other corporate programs

Portfolio Profiles & Assessment Data

Company Policies & Procedures

Market Data

Industry Rules & Regulations (base system)

Historical Data

Audits & Reports

Legal Contracts & Agreements

Agentic Services:

- Advanced research assistance
- Policy drafts, reviews & updates
- Audit prep & simulations
- Exam prep & simulations
- Management and Board reporting
- KYB and other client reporting
- Ad Hoc compliance functions

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Thank you.