

The logo for Flatirons AI features the word "Flatirons" in a dark blue, sans-serif font, followed by "AI" in a larger, bold, dark blue font. Above the "AI" is a teal line-art icon of a mountain range with three peaks. The entire logo is centered horizontally.

# Flatirons AI

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GEN-AI APPLICATIONS GROUNDED IN COMPLIANCE

A decorative footer consisting of a dark teal horizontal bar. On the right side, there are three stylized mountain peaks: a small dark blue one, a medium teal one, and a large dark blue one. A thin blue line runs horizontally across the top of the teal bar.

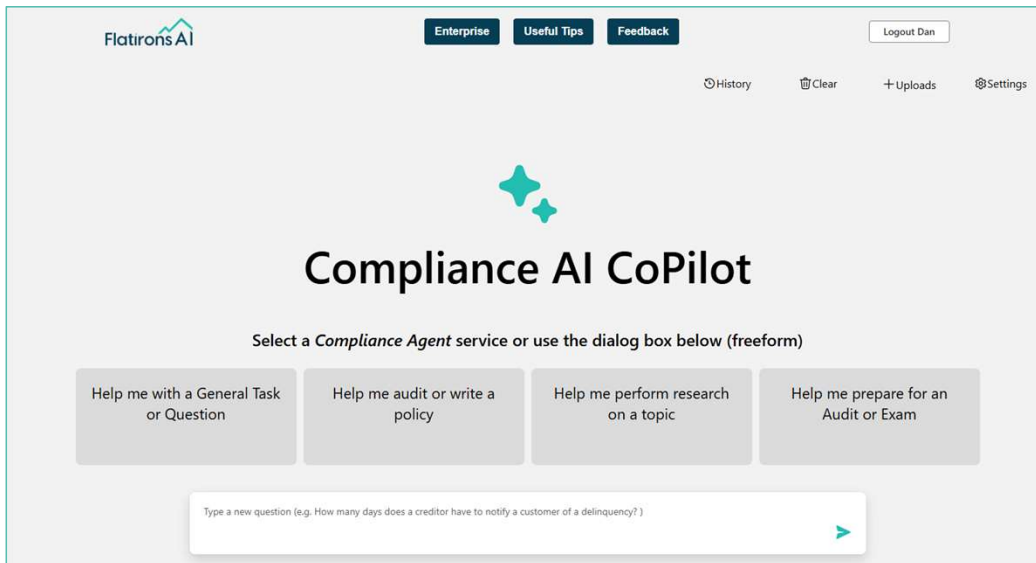
AI That Speaks Your Language™

# Compliance AI Base System

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- 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 policies, 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

# 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

A screenshot of the American Bankers Association website. The page is titled "Acts & Regulations" and includes a sub-header: "A comprehensive listing of federal acts and banking regulations, with links to full analyses and related news." There is a search bar and a "Search Acts & Regulations" button.

A screenshot of the NACHA website. The page is titled "COMPLIANCE" and includes the text: "Nacha's ACH Rules Compliance the structure for evaluating possible violations of the Nacha Operating Rules and Guidelines. DFIs can file a violation or enter into arbitration." The navigation menu includes "ACH", "EDUCATION", and "MEMBERSHIP".



The logo for the Office of the Comptroller of the Currency, featuring a blue circular icon with a white "C" and the text "Office of the Comptroller of the Currency" and "ABOUT".

Home > Publications & Resources > Publications > Comptroller's Handbook

## Comptroller's Handbook



The logo for the European Central Bank | EUROSYSTEM, featuring the European Union flag and the text "EUROPEAN CENTRAL BANK | EUROSYSTEM".

The logo for the European Commission, featuring the European Union flag and the text "European Commission".

The logo for the Bank of England, featuring the text "Bank of England" and "Home / Prudential regulation".

The logo for the Municipal Securities Rulemaking Board (MSRB), featuring the text "MSRB" and "Municipal Securities Rulemaking Board".



The logos for VISA and MasterCard, with the text "VISA® and MasterCard® Rules and Regulations".

The logo for the PCI Security Standards Council, featuring the text "PCI Security Standards Council".

A screenshot of a website navigation menu for "Finance". The menu includes "Home", "Regulation, Supervision", "Financial markets", and "Banking & insurance".



# Leverage a Variety of Enterprise Data



## Governed By:

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

## 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



Thank you.