

AI Agents:
10+ Use Cases Transforming Compliance

Explore 10+ AI agent workflows helping compliance teams to surface relevant evidence, evaluate controls, apply policies consistently, and produce verifiable reports—faster than ever.

Enterprise AI for Compliance

The Secure, No-Code AI Platform for Compliance

Across regulated industries, compliance is defined by precision, documentation discipline, and consistent execution. Whether it's reviewing onboarding files, validating disclosures, monitoring customer or employee interactions, ensuring process adherence, or maintaining a defensible audit trail, teams spend countless hours combing through fragmented systems, reconciling information, and interpreting evolving policies and regulations.

StackAI, the governed, secure, hybrid-cloud or on-prem AI orchestration platform now enables compliance teams to automate repetitive reviews, unify scattered data, and surface validated insights instantly. Instead of replacing analysts, investigators, auditors, or policy owners, AI agents work alongside them: extracting key information from documents, mapping evidence to controls, assessing conduct risk, validating procedural requirements, reviewing communications and disclosures, and answering frontline policy questions with citation-backed accuracy. With built-in governance, access control, and auditability, teams can rely on AI to accelerate decision-making and strengthen the full three-lines-of-defense model. The outcome is faster reviews, fewer compliance gaps, stronger audit readiness, and more bandwidth for professionals to focus on the high-judgment work that protects customers, employees, and the organization.

What are AI Agents?

Unlike traditional automation tools or static chatbots, AI agents for compliance can securely interact with controlled documents, case files, operational data, communications, policies, procedures, and regulatory frameworks within a governed, auditable environment. These agents support day-to-day compliance operations by retrieving and analyzing information from SharePoint libraries, document repositories, ticketing systems, call recordings, workflow tools, and internal knowledge bases. They can extract structured data from forms, classify risks, identify missing disclosures, evaluate conduct issues, validate control adherence, or generate draft reports aligned with internal standards and external requirements.



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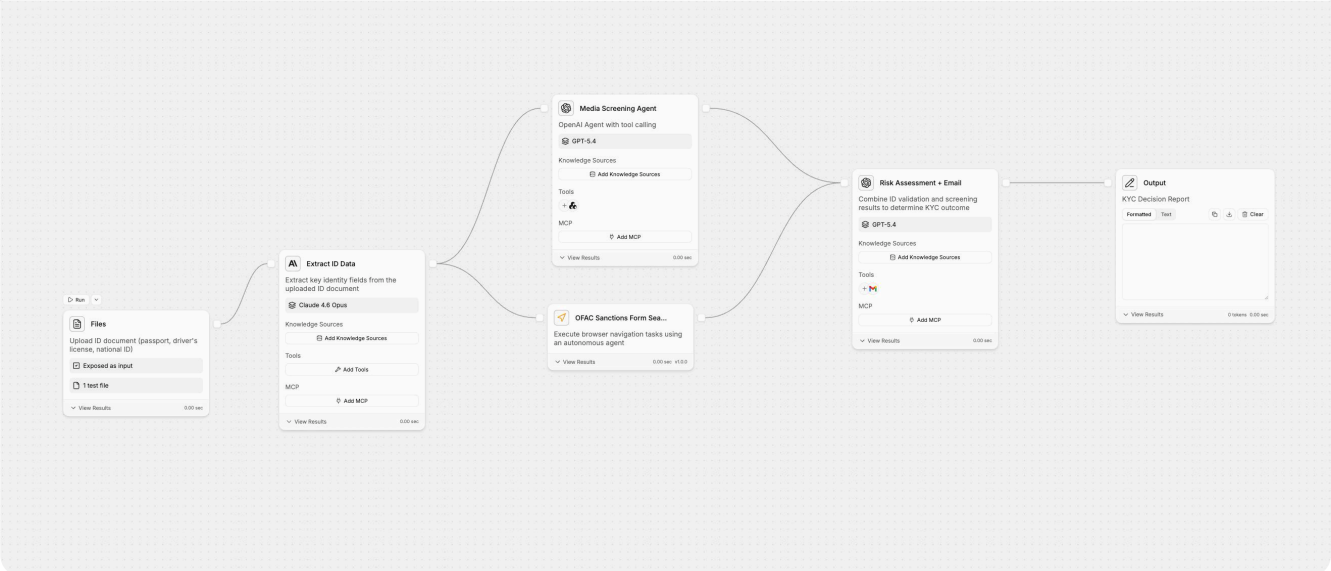
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KYC Agent

Manually verifying customer identities against sanctions lists and adverse media takes hours of analyst time per applicant and creates dangerous inconsistency.

An autonomous KYC agent that ingests an ID document, screens against OFAC sanctions and adverse media, and delivers a risk-scored compliance decision in minutes.

Who It's For	Compliance officers, KYC/AML analysts
Results	• Cuts per-applicant review time from hours to minutes by automating ID extraction, sanctions lookup, and media screening • Produces consistent, auditable risk decisions • Automatically escalates suspicious cases
Workflow	1. Ingests ID documents and extracts identity fields 2. OFAC sanctions search and adverse media/PEP screening run simultaneously with Browser Use 3. Synthesizes all signals into a final KYC decision, risk score, and flags, and auto-sends a Gmail alert



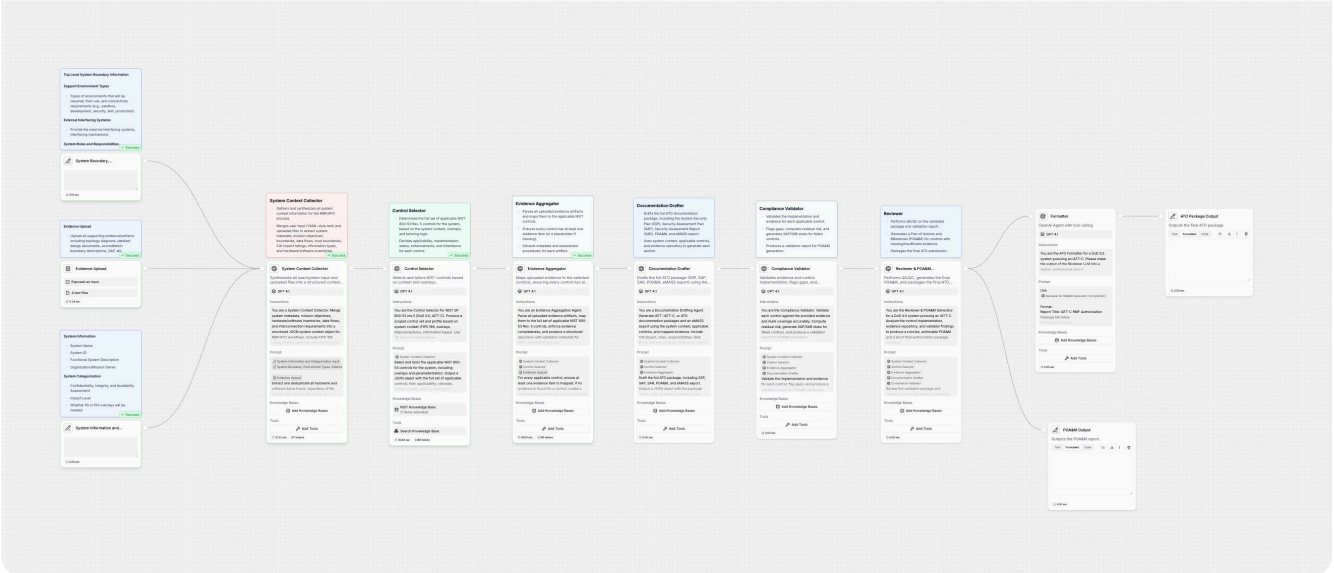
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Compliance Package Agent

Preparing a compliance package is an extremely time-consuming, manual process requiring deep expertise in controls, evidence mapping, and more.

This compliance agent transforms system metadata, uploaded evidence, and security requirements into a complete, audit-ready package for any external systems.

Who It's For	Compliance Managers, Project Managers
Results	• Reduces package preparation time to days • Ensures comprehensive NIST control coverage with no gaps • Automatically maps evidence to controls, eliminating manual cross-referencing
Workflow	1. Upload evidence and system information 2. **Several LLMs analyzes and extract** all key sections, match to NIST controls, draft documentation, and review the evidence 3. Compile results as a **polished report**



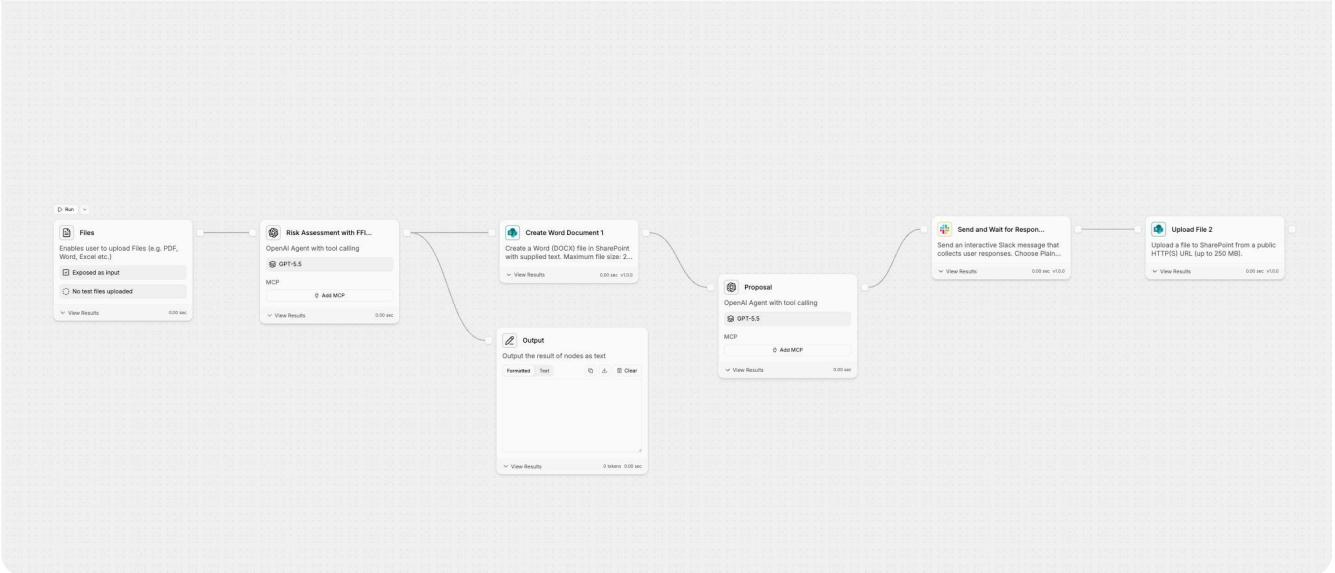
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SOC 2 Report Evaluation

Reviewing a vendor's compliance documents (e.g. SOC 2) against a framework (e.g. FFIEC) by hand is slow and inconsistent.

This agent automates FFIEC-aligned SOC 2 vendor risk assessments for compliance officers and IT risk managers at regulated financial institutions.

Who It's For	Compliance and vendor risk management teams
Results	• Automates hours of manual compliance checking • Preliminary vendor decision with reasoning delivered to Slack for review • Automatic archival of documents in SharePoint
Workflow	1. Ingests vendor's SOC 2 report and analyzes it using a FFIEC knowledge base 2. Builds the CUEC table and assigns URSIT rating, then generates and stores formatted document in SharePoint 3. Sends for human review via Slack



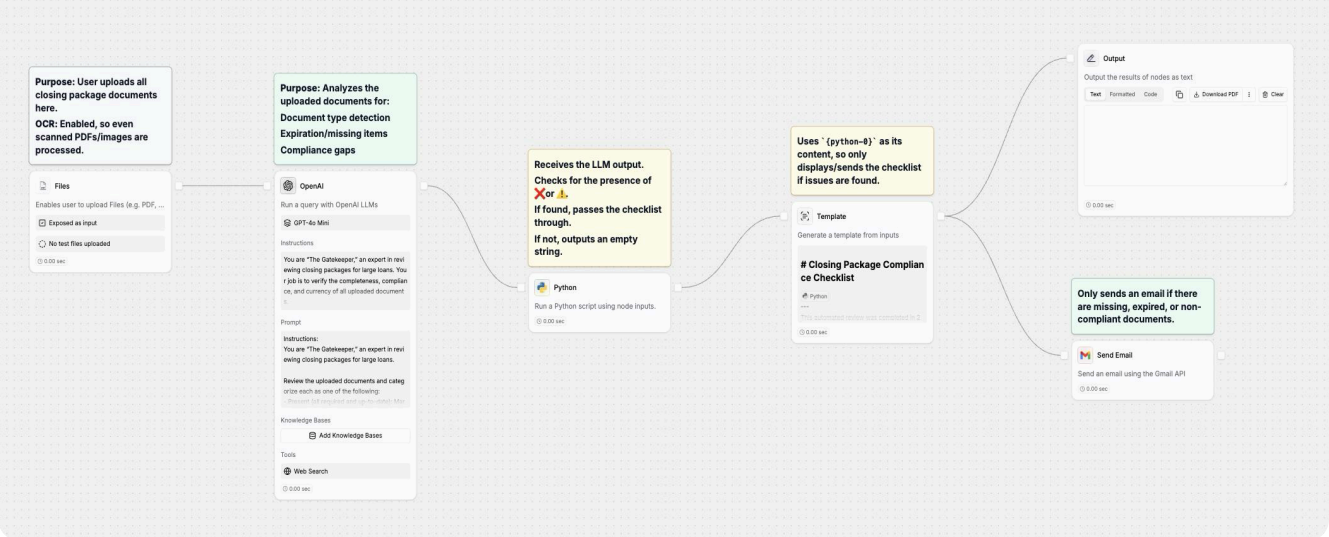
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Closing Compliance Agent

Lenders must ensure that all documents in a closing package are present, up-to-date, and compliant before funding a loan, but manual review can delay closings.

This agent ensures every closing package is reviewed instantly and thoroughly, with instant alerts for any departures from internal policy—helping lenders close loans faster.

Who It's For	Closing Manager, Compliance Officers
Results	• Reduces review time from hours to seconds • Check all documents for expiration, compliance • Immediate notification if anything is missing or non-compliant
Workflow	1. User uploads **all closing package documents** 2. LLM reviews for document type, missing documents, **expired/non-compliant** documents 3. LLM's analysis is formatted into **a clear report** 4. If issues are found, an **email is automatically sent** to designated recipient



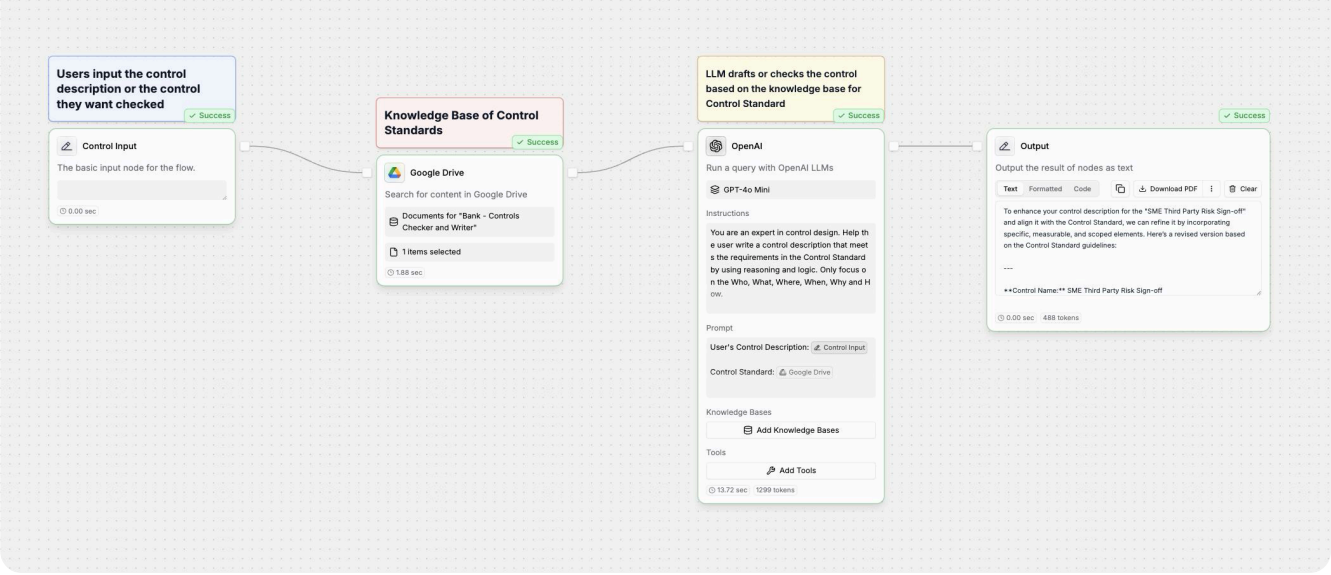
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Control Checker Agent

Handwritten controls are often vague, inconsistent, and fail audits due to lack of alignment with internal standards.

This agent helps banking teams write, check, and improve control descriptions by comparing user input against a knowledge base of control standards.

Who It's For	Internal Auditors, Risk and Compliance Managers
Results	• Consistent, high-quality control draft descriptions • Actionable feedback and improvement suggestions for existing controls • Reduced manual review time and lower risk
Workflow	1. User submits a **control description or an existing control** 2. **LLM compares the input against best practices** and standards, then drafts or suggests improvements 3. The improved or validated control description is output for **user review or implementation**



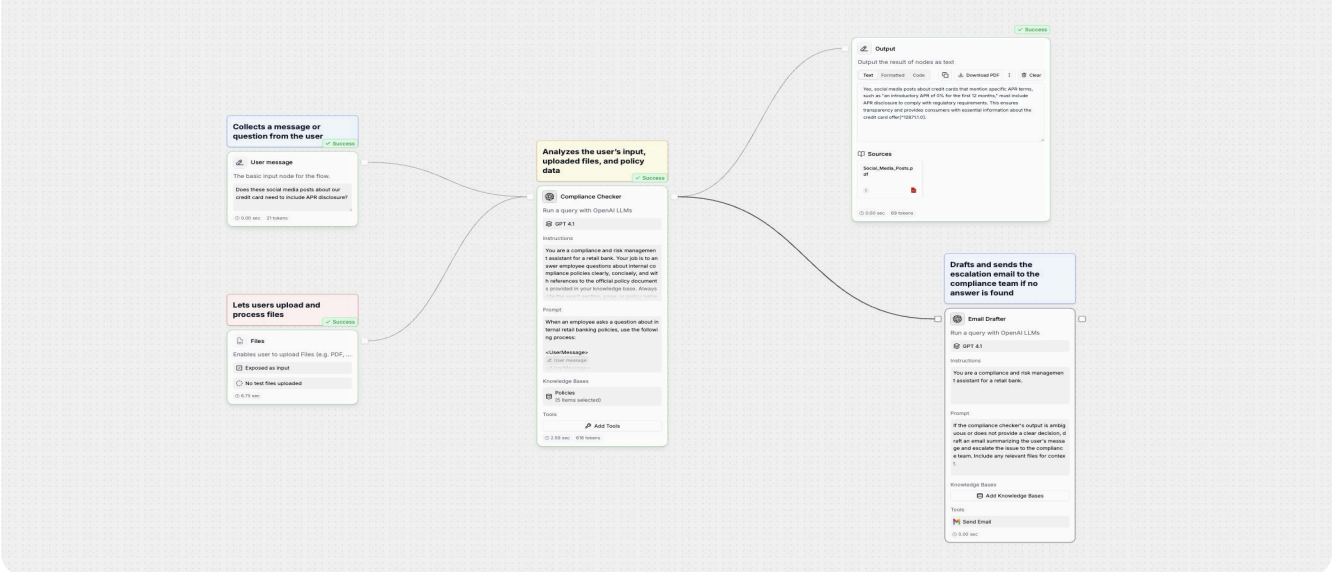
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Compliance Chatbot

Employees struggle to search for and interpret complex policy documents when they need compliance answers, leading to delays and risk of non-compliance.

This agent answers company compliance questions by referencing a knowledge base of official documents, and escalates unconfirmed answers to the compliance team.

Who It's For	Marketing Teams, Compliance Managers
Results	• Automates compliance checks for employee questions and uploaded files • Provides clear, policy-cited answers • Escalates ambiguous cases to compliance teams
Workflow	1. Users **submit their questions** and upload relevant files 2. **LLM** analyzes the input alongside official policy documents, always citing the exact policy section 3. **LLM automatically drafts an escalation email** summarizing the issue if no answer is found 4. **Sends** to the compliance team for further review



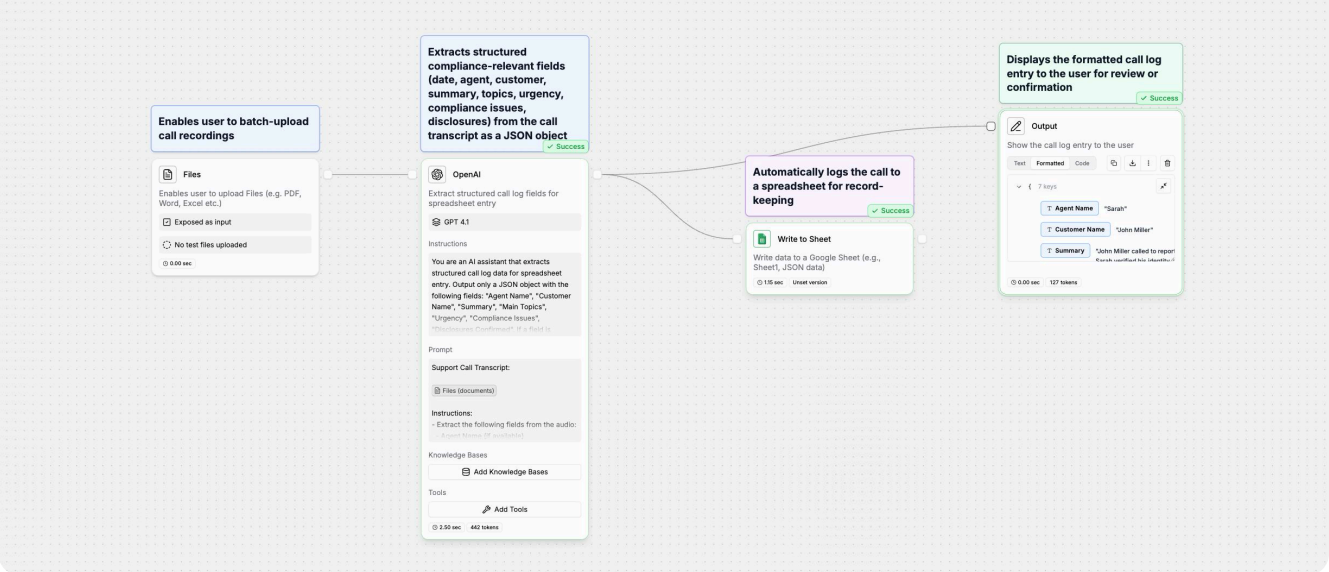
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Call Compliance Agent

Manually extracting, structuring, and logging compliance-relevant information from sales or support call transcripts is time-consuming and inconsistent.

This agent automates the extraction, structuring, and logging of key compliance and summary data from call audio, ensuring accuracy and efficiency.

Who It's For	Call Center Managers, Compliance Officers
Results	• Structured call data automatically extracted • Every call is recorded for audit trails and reporting • Instantly surfaces any compliance issues or missing disclosures from call recordings
Workflow	1. User **batch-uploads** call recording files 2. **LLM extracts structured JSON data** (names, summary, topics, urgency, compliance flags) 3. **Extracted data is automatically written to a Sheet** for record-keeping 4. **Formatted call log entry** is shown to the user for review and confirmation



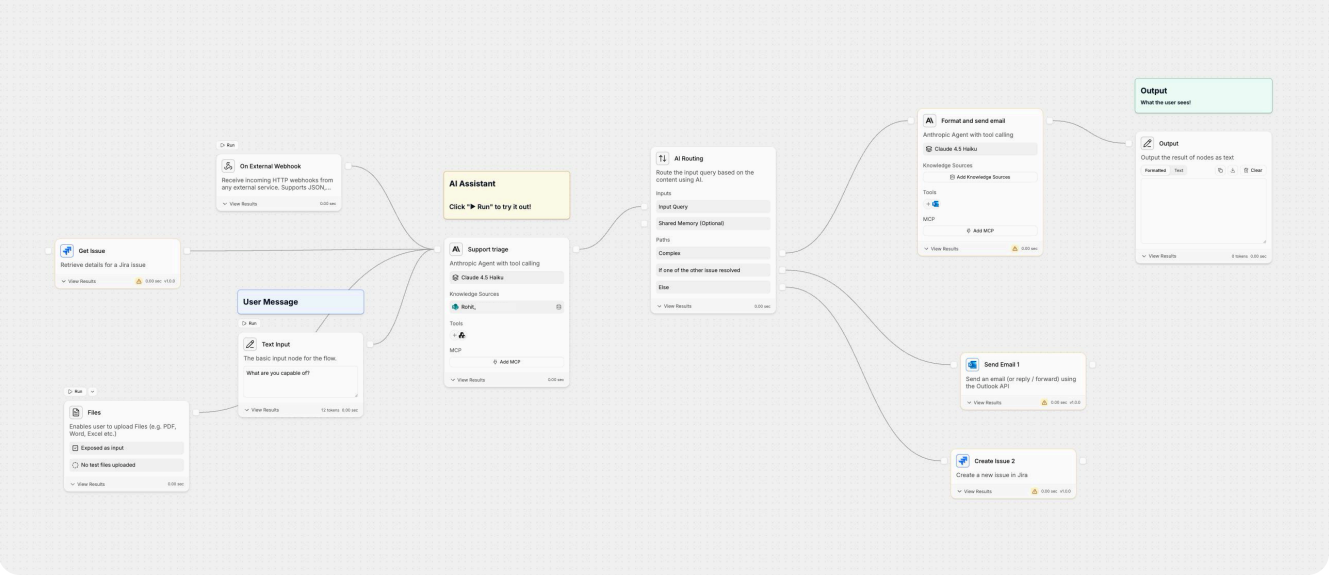
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Trade Surveillance Alert Triage

When surveillance alerts fire, compliance officers manually pull historical context before they can act.

This agent analyzes web and marketing content against regulations, generates a detailed compliance report, and emails it to a designated reviewer.

Who It's For	Compliance officers and trade surveillance teams
Results	• Auto-enriches alerts with historical context • Drafts review notes + a disposition memo for approval • Triggers automatically when alerts fire
Workflow	1. Alert fires (e.g. volume threshold exceeded); agent queries source systems 2. Pull recent trades, comms, prior actions on the same name/trader 3. Draft review notes + disposition memo 4. Reviewer approves or adjusts



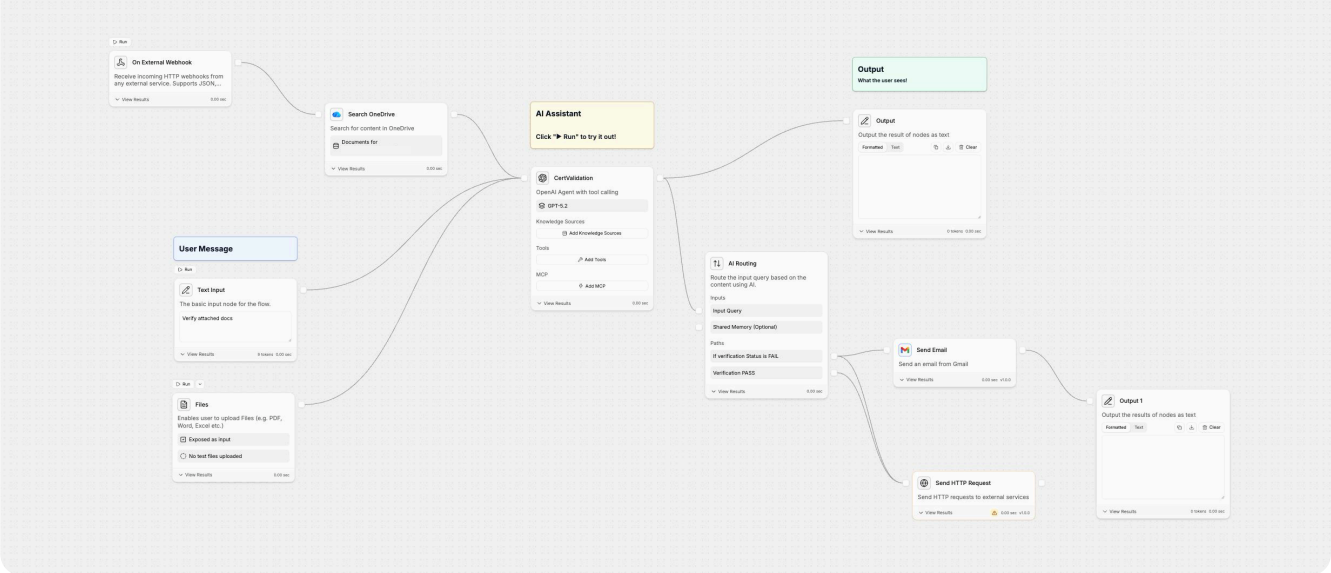
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Certificate of Analysis Compliance Agent

Validating CoAs for food, supplement, and chemical products against multiple specs by hand is easy to get wrong.

This agent analyzes Certificates of Analysis for expired windows, missing tests, and more according to tolerance levels, and emails a pass/fail report for review.

Who It's For	QA teams at food, supplement, and chemical manufacturers
Results	• Flags out-of-tolerance results, expired windows, missing tests • Structured pass/fail finding with failing parameters highlighted
Workflow	1. Ingest the Certificate of Analysis and extract lab measurements 2. Compare each measurement against the spec sheet 3. Flag out-of-tolerance/expired/missing results and produce a structured pass/fail finding



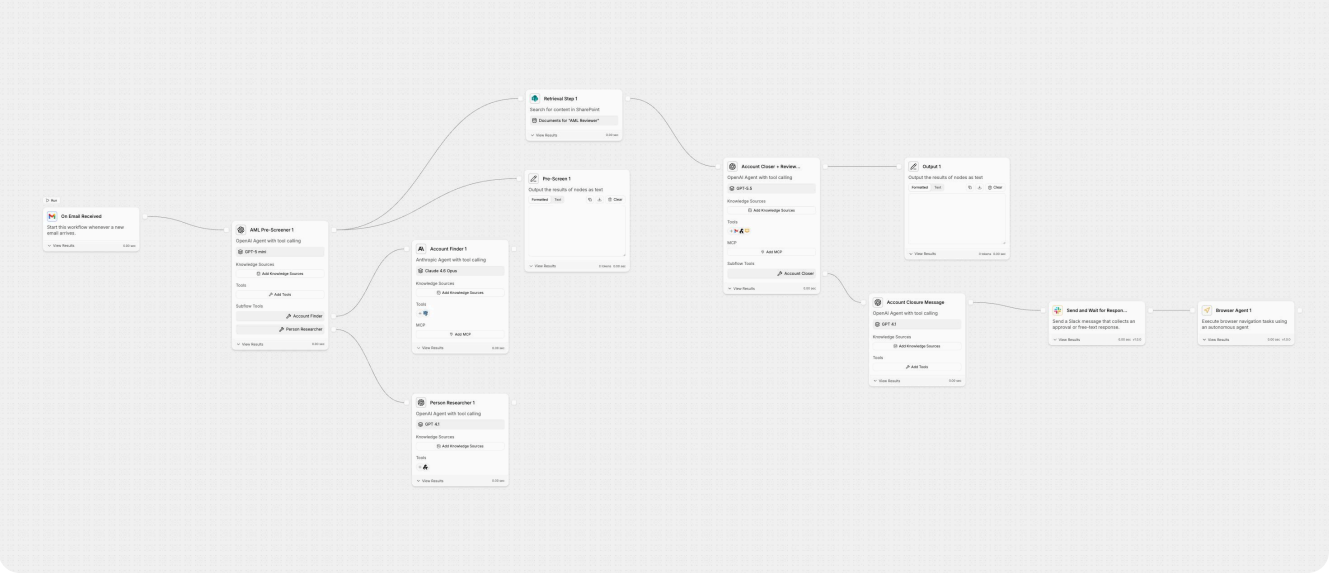
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AML Agent

AML/compliance teams spend hours manually reviewing suspicious-activity emails, cross-checking customer records, and more.

This agent automatically triages inbound AML notification emails, researches the flagged person, drafts a closure decision, and executes the closure after human approval.

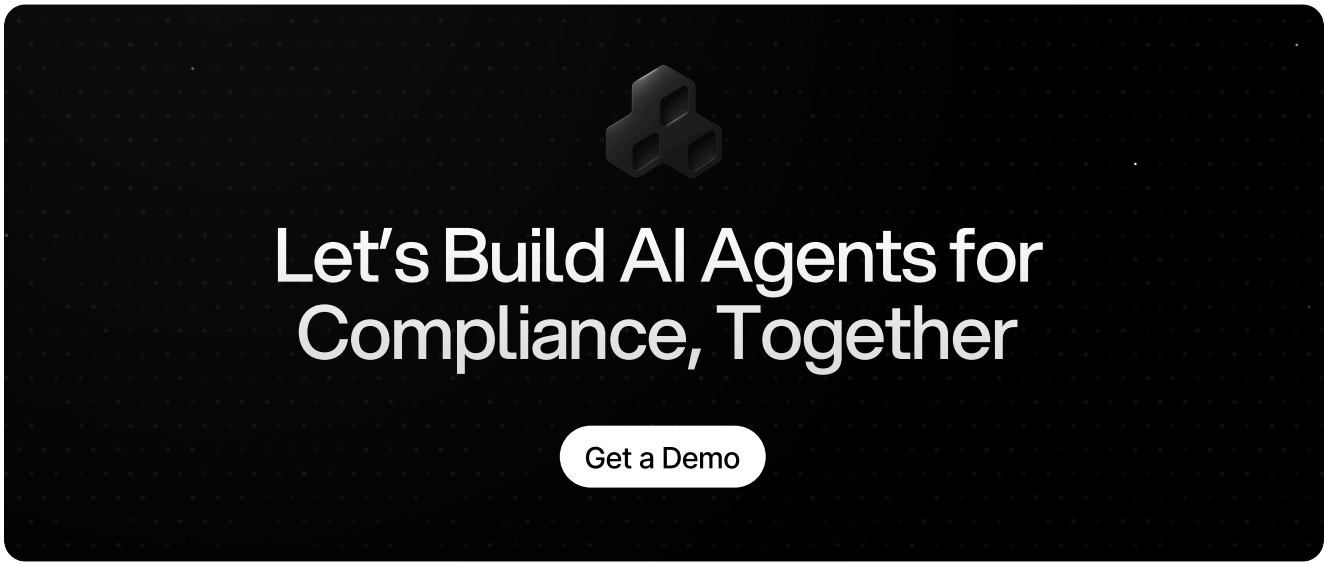
Who It's For	AML Officers, Fraud & Risk Operations Analysts
Results	• Faster regulatory response • Consistent, policy-grounded decisions • Human-in-the-loop safety: no account closed without explicit approval
Workflow	1. Workflow is triggered on a new AML email 2. Parallel investigation: researches the public profile, finds the matching bank account, and retrieves relevant AML policy docs from SharePoint 3. Drafts the decision and sends to human for review 4. If approved, logs into portal and closes account



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Use Case 10: **Webpage Compliance Agent**	**Problem:** Regulatory compliance reviews are time-consuming, error-prone, and require specialized expertise. **Solution:** This agent analyzes web and marketing content against regulations, generates a detailed compliance report, and emails it to a designated reviewer.
Use Case 11: **Complaint & Incident Classification Agent**	**Problem:** Customer complaints and incident reports arrive unstructured, slowing down triage and increasing risk. **Solution:** The agent classifies each complaint by risk, regulatory category, severity, and required follow-up actions.
Use Case 12: **Regulatory Change Monitoring Agent**	**Problem:** Compliance officers cannot manually track every regulatory update, rule change, enforcement action, or supervisory bulletin relevant to their organization. **Solution:** The agent continuously monitors regulatory sources, summarizes updates, highlights changes impacting internal policies, and recommends required policy revisions.
Use Case 13: **Compliance Training Personalization Agent**	**Problem:** One-size-fits-all training wastes time and fails to reflect role-specific regulatory obligations. **Solution:** The agent generates individualized compliance training modules based on job function, past errors, policy updates, and performance insights.
Use Case 14: **Transaction & Case Evidence Aggregation Agent**	**Problem:** Investigators waste hours piecing together evidence from email, CRM records, logs, and SharePoint folders during compliance reviews or internal investigations. **Solution:** The agent automatically retrieves, normalizes, and compiles all relevant evidence into a structured case packet, mapped to internal controls or regulatory categories.

The use cases in this white paper are just the beginning. With StackAI's drag-and-drop interface, secure infrastructure, and 100+ integrations, anyone can build production-ready AI agents in just a few clicks.



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