



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.

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.

AI agents don't replace compliance officers, reviewers, or investigators—they amplify their capacity and make their judgment more effective. In practice, AI agents translate into faster onboarding and case throughput, more consistent policy enforcement, improved conduct and communications monitoring, tighter control alignment, and a more resilient compliance operating model. Organizations across industries reduce operational risk, strengthen governance, and deliver a more transparent experience for customers, auditors, and regulators, without increasing headcount or compromising control.

Use Case 1: KYC Agent

Manual KYC (Know Your Customer) verification is time-consuming and requires teams to juggle multiple systems for ID extraction and risk assessment.

This KYC compliance agent extracts identity data from uploaded documents and IDs, screens individuals against adverse media, and generates risk assessment reports.

Who It's For	KYC/AML Teams and Managers
Results	<ul style="list-style-type: none">• Finds and summarizes relevant past proposals from your knowledge base based on a topic• Emails a concise summary and the original proposal documents to a specified recipient
Workflow	<ol style="list-style-type: none">1. User batch-uploads ID images and scans2. LLM extracts text from images via OCR3. LLM performs real-time web searches to check the individual and surface any adverse media4. Risk assessments are generated and stored, data is logged to Excel for record-keeping

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Use Case 2: 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	<ul style="list-style-type: none">• Reduces package preparation time to days• Ensures comprehensive NIST control coverage with no gaps• Automatically maps evidence to controls, eliminating manual cross-referencing
Workflow	<ol style="list-style-type: none">1. Upload evidence and system information2. Several LLMs analyzes and extract all key sections, match to NIST controls, draft documentation, and review the evidence3. Compile results as a polished report

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Use Case 3: Engineering Compliance Agent

Engineering teams spend countless hours manually reviewing design specs against regulatory standards, risking compliance violations and delays.

This AI-powered compliance reviewer analyzes engineering design documents against regulatory standards, generates summaries, and sends reports to stakeholders.

Who It's For	Project Managers, Engineers, Compliance Managers
Results	<ul style="list-style-type: none">• Automates hours of manual compliance checking• Ensures no regulatory requirements are missed• Bridges gap between technical teams and business stakeholders
Workflow	<ol style="list-style-type: none">1. User submits a package of design specs2. Relevant documents and knowledge bases (Engineering of Defense Systems Guidebook) are searched and retrieved3. LLM reviews the specs and reference materials to generate a detailed report; sends it via Outlook

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Use Case 4: 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	<ul style="list-style-type: none"> • Reduces review time from hours to seconds • Check all documents for expiration, compliance • Immediate notification if anything is missing or non-compliant
Workflow	<ol style="list-style-type: none"> 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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Use Case 5: 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	<ul style="list-style-type: none">• Consistent, high-quality control draft descriptions• Actionable feedback and improvement suggestions for existing controls• Reduced manual review time and lower risk
Workflow	<ol style="list-style-type: none">1. User submits a control description or an existing control2. LLM compares the input against best practices and standards, then drafts or suggests improvements3. The improved or validated control description is output for user review or implementation

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Use Case 6: 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	<ul style="list-style-type: none"> • Automates compliance checks for employee questions and uploaded files • Provides clear, policy-cited answers • Escalates ambiguous cases to compliance teams
Workflow	<ol style="list-style-type: none"> 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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Use Case 7: 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	<ul style="list-style-type: none"> • 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	<ol style="list-style-type: none"> 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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Use Case 8: Webpage Compliance Agent

Regulatory compliance reviews are time-consuming, error-prone, and require specialized expertise to cross-reference assets with complex regulations.

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	Marketing Teams, Compliance Managers
Results	<ul style="list-style-type: none"> Automated compliance report identifying fully compliant, partially compliant, and non-compliant sections with specific regulation citations Instant email delivery of the compliance report to designated reviewers for quick action
Workflow	<ol style="list-style-type: none"> User provides the website to check and the relevant regulation source URLs are scraped to pull content and regulations LLM analyzes the website against regulations Final compliance report is displayed and emailed to the specified reviewer

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AI Agents for Compliance

Use Case 8: Vendor & Third-Party Risk Assessment Agent	<p>Problem: Compliance teams labor through long vendor questionnaires, and more to determine third-party risk levels.</p> <p>Solution: The agent parses new regulations, compares them against existing policies, identifies gaps, and proposes updated control mappings with citation-backed reasoning.</p>
Use Case 9: Complaint & Incident Classification Agent	<p>Problem: Customer complaints and incident reports arrive unstructured, slowing down triage and increasing risk.</p> <p>Solution: The agent classifies each complaint by risk, regulatory category, severity, and required follow-up actions.</p>
Use Case 10: Regulatory Change Monitoring Agent	<p>Problem: Compliance officers cannot manually track every regulatory update, rule change, enforcement action, or supervisory bulletin relevant to their organization.</p> <p>Solution: The agent continuously monitors regulatory sources, summarizes updates, highlights changes impacting internal policies, and recommends required policy revisions.</p>
Use Case 11: Compliance Training Personalization Agent	<p>Problem: One-size-fits-all training wastes time and fails to reflect role-specific regulatory obligations.</p> <p>Solution: The agent generates individualized compliance training modules based on job function, past errors, policy updates, and performance insights.</p>
Use Case 12: Transaction & Case Evidence Aggregation Agent	<p>Problem: Investigators waste hours piecing together evidence from email, CRM records, logs, and SharePoint folders during compliance reviews or internal investigations.</p> <p>Solution: The agent automatically retrieves, normalizes, and compiles all relevant evidence into a structured case packet, mapped to internal controls or regulatory categories.</p>

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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Compliance, Together

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