

Financial Services Disclosure Compliance Agent

Accelerate financial compliance at digital speed with automated, CMS-integrated disclosure auditing

Problem Statement

The Financial Services Disclosure Compliance Agent, powered by the Optimizely Opal AI platform, is a purpose-built tool to automate routine aspects of regulatory oversight for banking, investment, and insurance firms by identifying improvements and reducing manual workload while keeping all final decisions and regulatory interpretations with human professionals. By integrating directly with a Content Management System (CMS), it transforms manual compliance burdens into a streamlined, proactive governance workflow.

Who It Helps

Chief Compliance Officers (CCOs)

Gain real-time visibility into the organization's compliance posture to reduce the risk of federal sanctions.

Legal & General Counsel

Shifts focus from manual "find-and-fix" tasks toward high-stakes legal strategy.

VP of Marketing

Enables faster campaign launches by embedding compliance guardrails directly into the creative workflow.

Digital Product Owners

Ensures high-traffic financial tools and calculators remain legally accurate and WCAG-accessible.

Key Benefits

Mitigate Regulatory Risk

Eliminates "content drift" by ensuring digital content aligns with the latest SEC, FINRA, FTC, FDIC, and state-specific insurance mandates.

Reduce Operational Costs

Achieves up to a 30% reduction in compliance labor hours by automating routine proofreading and disclosure audits.

Accelerate Speed-to-Market

Removes manual legal bottlenecks with automated approval gates that flag issues before they reach human reviewers.

Maintain Immutable Audit Trails

Automatically tracks versioning, reviewer credentials, and last-modified dates to simplify SOX and regulatory examinations.

How It Works

The agent operates through a multi-phase process to ensure content is authoritative and legally sound.

Intake & Discovery: Using Optimizely Graph, the agent scans the digital estate to identify product categories (such as Wealth Management) and maps them to regulatory frameworks like Regulation P or the Truth in Savings Act.

Automated Auditing & Comparison: The agent uses "LLM as a judge" evaluations to compare live web text against approved legal snippets in the Content Library. It understands context, such as recognizing that a "High-Yield Savings" page must trigger specific APY and FDIC disclosures.

Suggestion & Workflow Routing: When a gap is identified, the agent pulls the latest approved language and routes remediation tasks to appropriate stakeholders. Only authorized "Approvers" can override an agent's status.

Continuous Monitoring & Reporting: Opal can generate reports on expired content, automatically email compliance reports with suggested legal fixes, and save them as PDFs for final review.

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