

ZANGO MASTERCLASS

# How to build *AI agents* for risk & compliance.

FOCUS → FINANCIAL PROMOTIONS

# About us



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# Agenda

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01 Core concepts

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02 Case study — agentic workflows at Santander

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03 Building a marketing compliance agent

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04 The future of financial promotion agents

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05 Live audience testing - Email: [gabriele@zango.ai](mailto:gabriele@zango.ai)

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# The workshop series so far

## WORKSHOP 01

### Prompt like an AI engineer for compliance.

Where AI adds value across compliance tasks, chain-prompting frameworks for consistent outputs, and turning regulation into an operational obligations register.

## WORKSHOP 02

### Spotting where AI goes rogue.

Designing evaluation models, defining human review points, using confidence scoring and guardrails, and designing for repeatability across users and time.

## WORKSHOP 03

### Build your own AI agent for horizon scanning.

Designing AI-enabled horizon scanning workflows, building agents that scan and filter for relevant alerts, and embedding governance and oversight.

Core *concepts*.

# *Poll Question*

What brings you here today?

# Grounding and *citations*.



# Balancing *signal vs noise*

FALSE NEGATIVE

A missed breach.



FALSE POSITIVE

An over-flag.



# Building *the eval set*



Building *a marketing*  
*co-pilot* agent.

# Let's build a marketing co-pilot agent

Scope ..... Knowledge Base ..... Train ..... Test

*Email: [gabriele@zango.ai](mailto:gabriele@zango.ai)*

# *Questions*

# *Poll Question*

How are you handling  
financial promotions at your  
firm?

# *Build.* In-house AI agents at Santander.

# A three-pronged approach to AI in compliance.

01 / BROAD

Licences with light frameworks

02 / TARGETED

In-house bots for specific use cases

03 / ENTERPRISE

Structured procurement of tooling

# Two agents we've built inside the team.

## AGENT 01

### Payments regulatory analysis bot.

Reads payments-domain regulatory text, surfaces what's in scope for our products, and drafts a first-pass impact view for a reviewer to interrogate.

## AGENT 02

### Internal reporting bot.

Pulls structured signals from across the function and assembles the recurring committee and management reports we used to write by hand.

What we've *learned* building in-house.



# *Questions*

# *Poll Question*

Where have you tried to apply AI in compliance?

*Buy.* Fin prom agent  
at Brown Advisory.

# What made marketing compliance *painful*.

## PAIN 01

Endless back-and-forth between marketing, compliance, and legal

## PAIN 02

What counts as "unfair" or "misleading" is subjective

## PAIN 03

No institutional memory of decisions taken

# What we've *learned* adopting an AI agent



# Looking *ahead*

Q1 / CHANGE

How does AI structurally change how compliance teams operate?

Q2 / DOESN'T CHANGE

What won't AI change in compliance?

Q3 / OVER AGAIN

If you started from scratch today, what would you do differently?

# *Questions*

# *Poll Question*

What compliance use case  
should we build next?

Let's test your financial  
promotions through  
the tool, *live*.

# How to build AI agents for risk & compliance

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Focus → Controls

23 Jun · 3:00 PM BST · Registration open



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