

BISA 2025 Regulatory & Compliance Summit



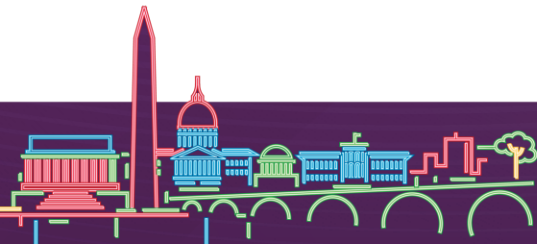
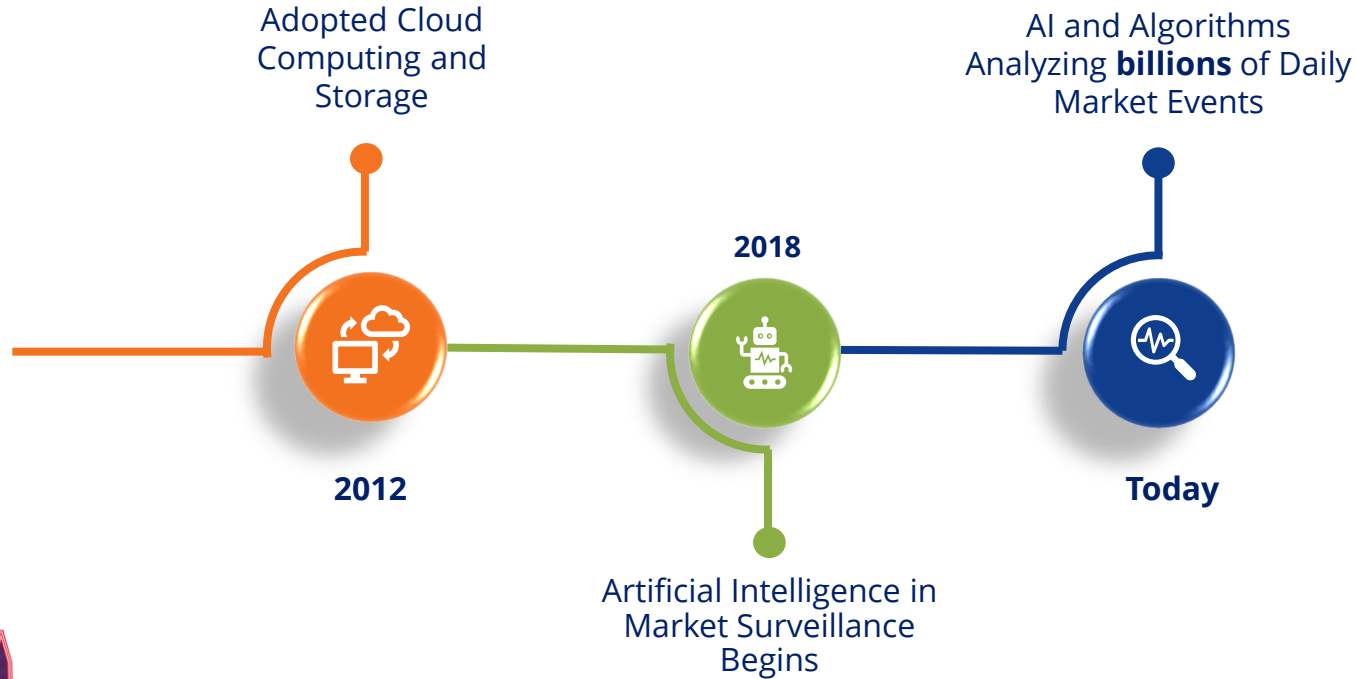
Greg Ruppert

Executive Vice President & Chief Regulatory Operations Officer
FINRA



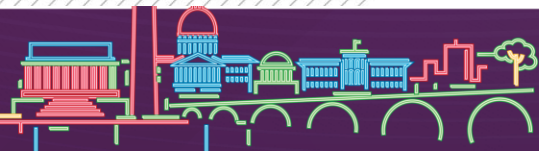
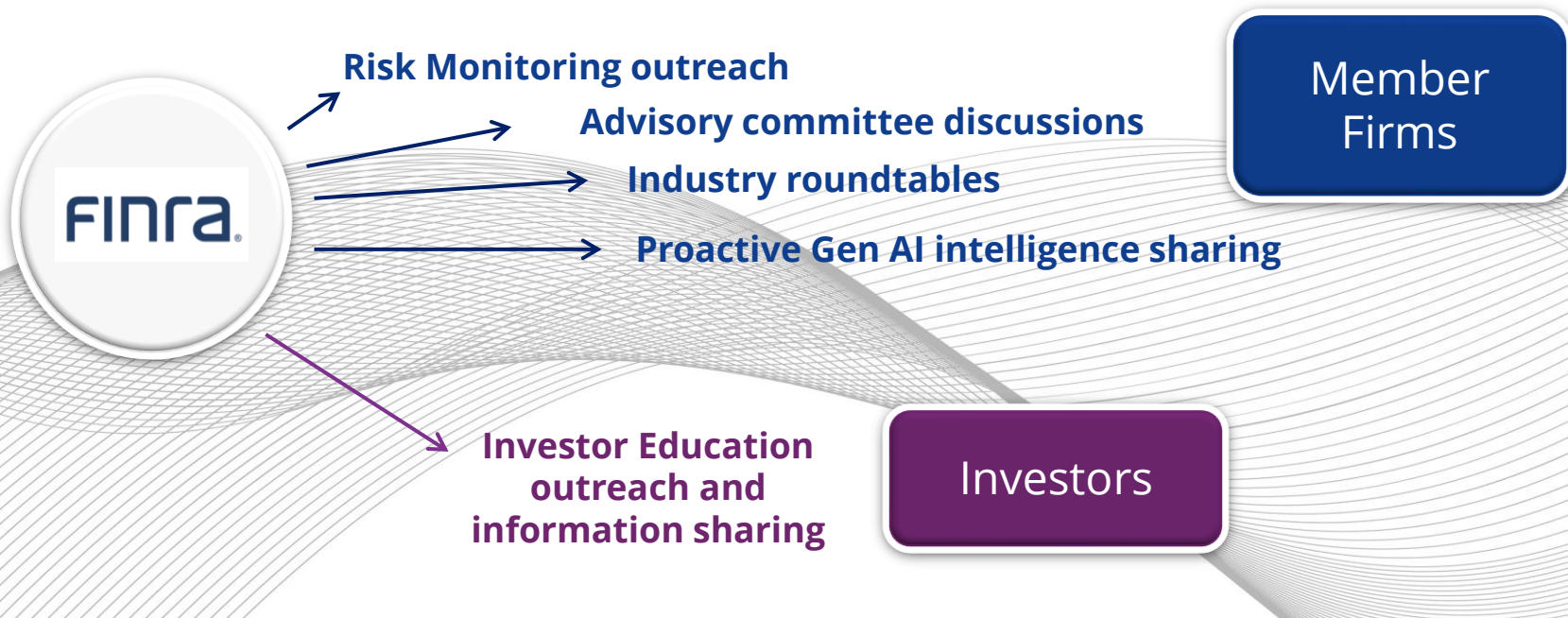
BISA 2025 Regulatory &
Compliance Summit

Consistent Early Technology Adopter



Engaging with Member Firms on AI

Understanding and Supporting AI Use in the Industry



How FINRA Member Firms are Using AI



**Summarization &
Information Extraction**



**Conversational AI &
Question Answering**



**Sentiment
Analysis**



Translation



**Content Generation &
Drafting**



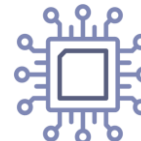
**Workflow Automation &
Process Intelligence**



Coding



**Classification &
Categorization**



**Modeling &
Simulation**



**Synthetic Data
Generation**



Query



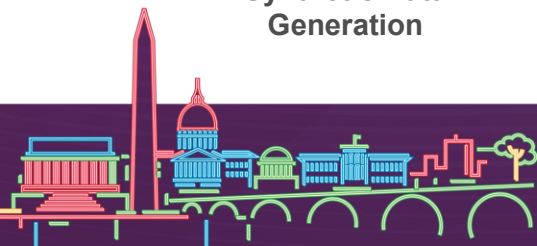
**Personalization &
Recommendation**



**Analysis &
Pattern Recognition**



**Data
Transformation**



How FINRA is Innovating with AI

1

Implement strong AI governance and policies



2

Research, dig in and learn about AI capabilities



3

Innovate by starting small



4

Review third-party vendors' use of AI and firm contracts



Driving Innovation and AI Adoption at FINRA

Embedding as a part of our day-to-day culture

Town Hall Presentations
Lessons Learned
Hands On Tools
Discussions



Encouraging use across the organization

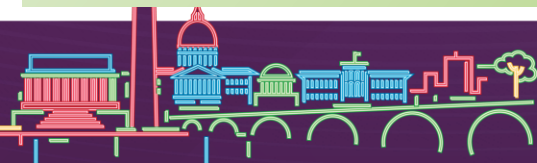
Challenging teams to think about how they can use AI to gain efficiency

Learning and sharing lessons learned in all departments

Training

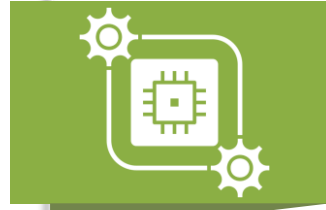
Teaching teams about AI use, policies to use AI

Learning about our member firm use cases so we can enable innovation in a compliant manner



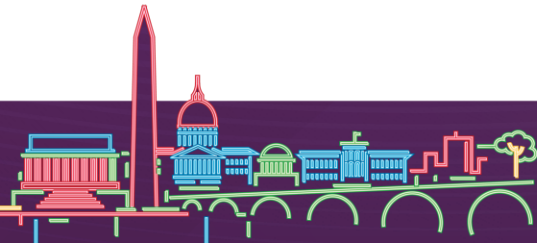
Sharing Intelligence with Our Member Firms

GenAI is a **powerful and exciting** tool for our industry

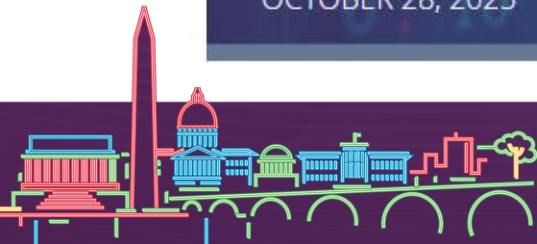


We have also observed bad actors exploiting AI to create more elaborate, believable and quicker threats.

FINRA is quickly sharing how to identify and mitigate evolving threats with our membership to help protect customers and the markets.



Embracing AI and FINRA Forward



More Resources on the AI Key Topics Page

> [RULES & GUIDANCE](#) > [KEY TOPICS](#)

Artificial Intelligence (AI)

Overview

Notices

Resources

Investor Education

"Artificial intelligence" (AI) generally refers to the "intelligence of machines," or the science of making machines perform tasks that have been traditionally performed by humans based on human intelligence. AI is used as an umbrella term to encompass various types of specific technologies such as machine learning, neural networks, natural language processing (NLP), large language models (LLMs), and generative AI (GenAI) tools.

AI technology has rapidly evolved, including the development and availability of GenAI technologies that are generating significantly better text, synthetic data, images or other media in response to prompts. LLMs are a type of GenAI that use deep learning techniques and large data sets of language to identify, summarize, predict and generate new text-based content.

