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Description automatically generated

**Regulatory and Company Compliance Worksheet:**

Please fill in the sections below with any specific company policies or regulatory requirements that your AI agent must adhere to. This information will help us train your AI to align with your compliance standards and internal guidelines.

**Examples:**

1. **Issue:**   
   According to federal lending regulations (e.g., Truth in Lending Act), all fees, interest rates, and terms must be clearly disclosed to the customer. Failure to do so can result in regulatory penalties.

**Required Action:**  
The AI must state: "I’m not authorized to discuss loan terms. An agent will provide a full breakdown of fees and interest rates."

1. **Issue:** Unauthorized Financial Advice. ABC Group policy prohibits AI agents from offering financial/investment advice to avoid liability. Only licensed representatives are allowed to give such recommendations.

**Required Action:**  
The AI must state: "We’re not registered financial advisors, so I can’t provide investment advice. However, a representative can assist with any specific questions you have about our products. Would you like me to transfer you now?"