



Insightful. Transparent. Trusted.

Riskconnect and Compliance.ai Integration Options

Fast Time to Value, Minimal IT Demand

Phase 1: Implement RCM

End to End: ~2 days, No IT Support Required



All Software-as-a-Service

- Business Profiling
- Regulatory Intelligence
- Insights & Trend Analysis
- Regulatory Notifications & Tracking
- Enforcement Action Monitoring
- Obligation Assessment
- Change Management
- Processing & Collaboration
- Reporting

Pre-Built Integration:
API & Service Connectors

Phase 2: Enterprise Team Edition: Integrate with GRC

Continuous Sync: ~2 weeks, Minimal IT Support

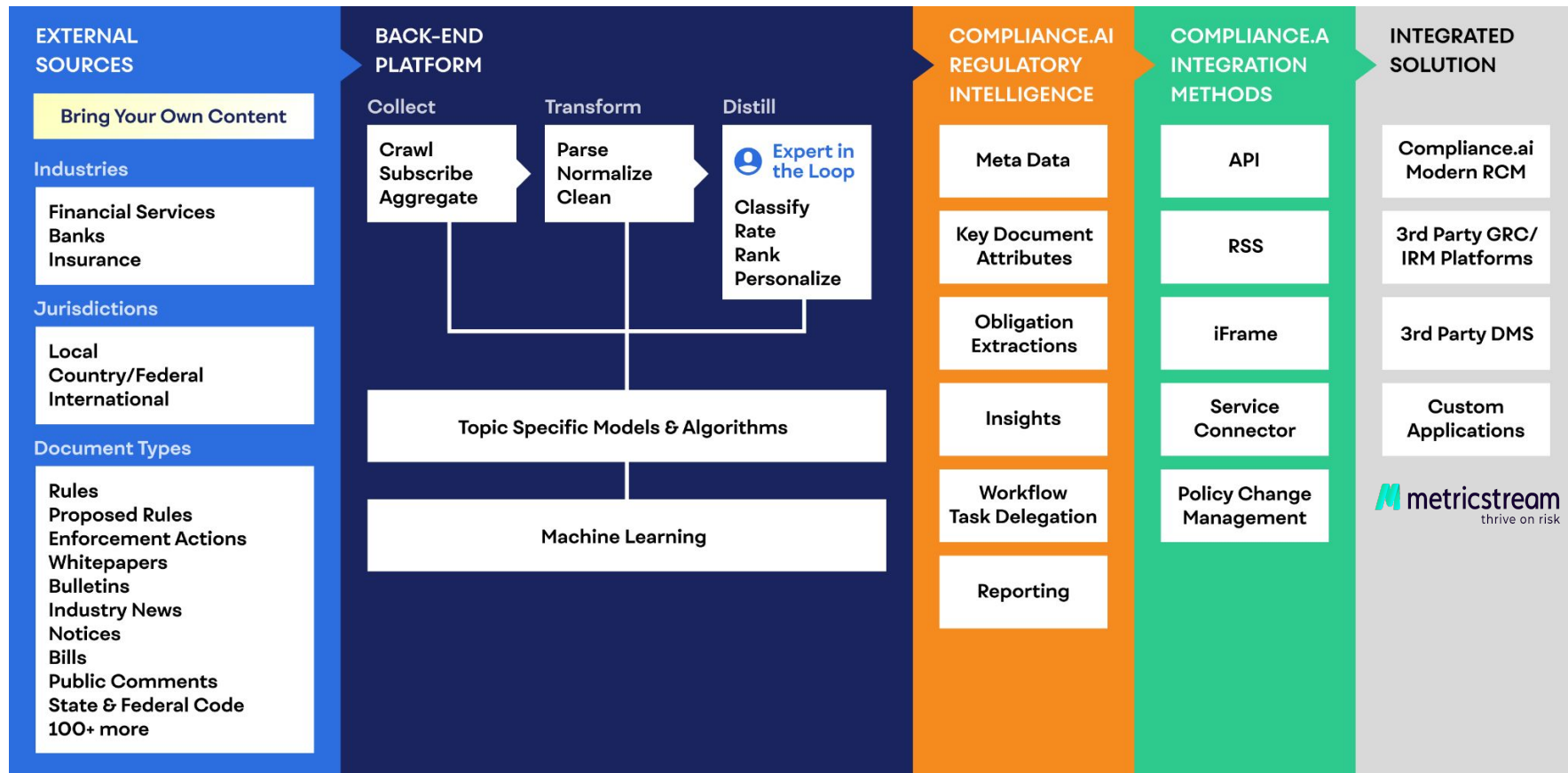


Streamline GRC activities

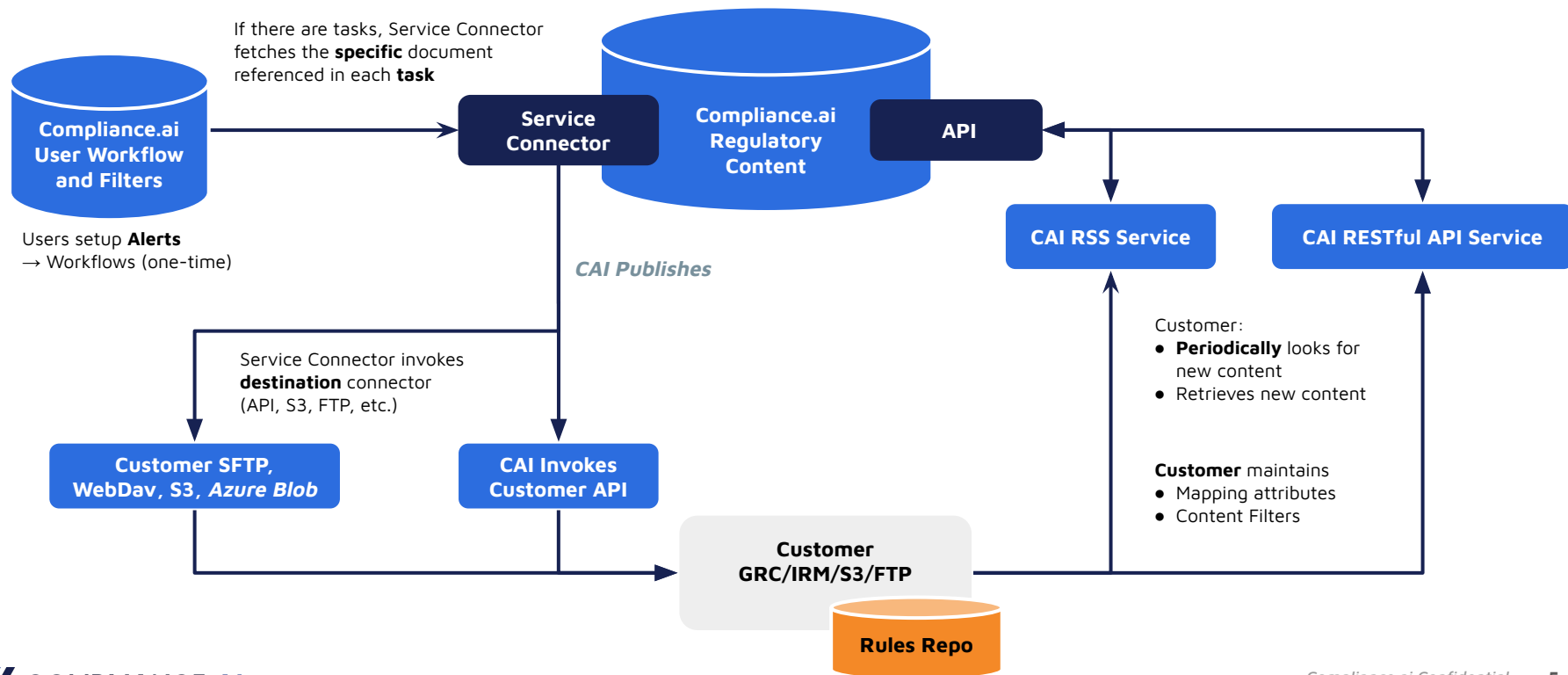
- Automatically map changes to controls and policies
- Trigger GRC workflow to track Regulatory changes
- Expert guidance for required updates
- Risk/Incident Management, Law library

Compliance.ai overall Integration Options

Regulatory Change Management Platform



Enterprise Team Edition: Integration Options Overview



Enterprise Team Edition: Integration Method Comparison

	RSS	RESTful API	Service Connector
Build regulatory content library with hierarchical structure		✓	
Multiple endpoints for list of values like Topics, Document Types, Agencies, etc		✓	
Utilize Workflow and Task Dependencies			✓
Publish Annotations & Obligations			✓
Time to Integrate	Within hours	3-4 days	3-4 weeks
Subscription Required	Team Edition	Developer Platform and API Edition	Team Edition OR Developer Platform and API Edition
How to get started	RSS Integration Guide	API User Guide	Service Connector Guide

Enterprise Team Edition: Integration Method Comparison

	RSS	RESTful API	Service Connector
Document Attributes Configurable	✓	✓	✓
Multiple Instances w/ Unique Configurations	✓	✓	✓
Secured with TLS 1.2 & above	✓	✓	✓
Data Format - JSON		✓	✓
Data Format - CSV			✓
Data Format - XML	✓		✓
Publish content on set schedule			✓
Customer pulls content	✓	✓	

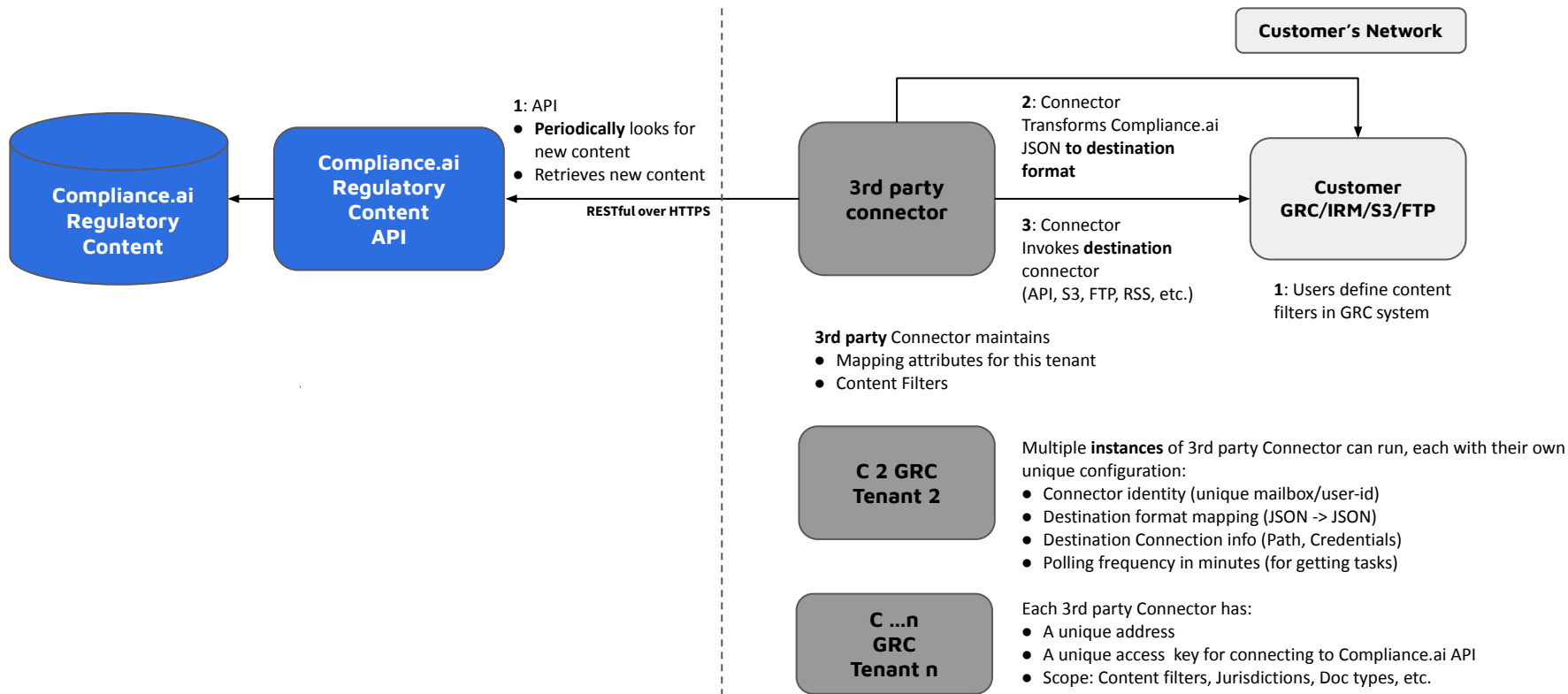
Enterprise Team Edition:

Supported Information Exchange Transports/Protocols

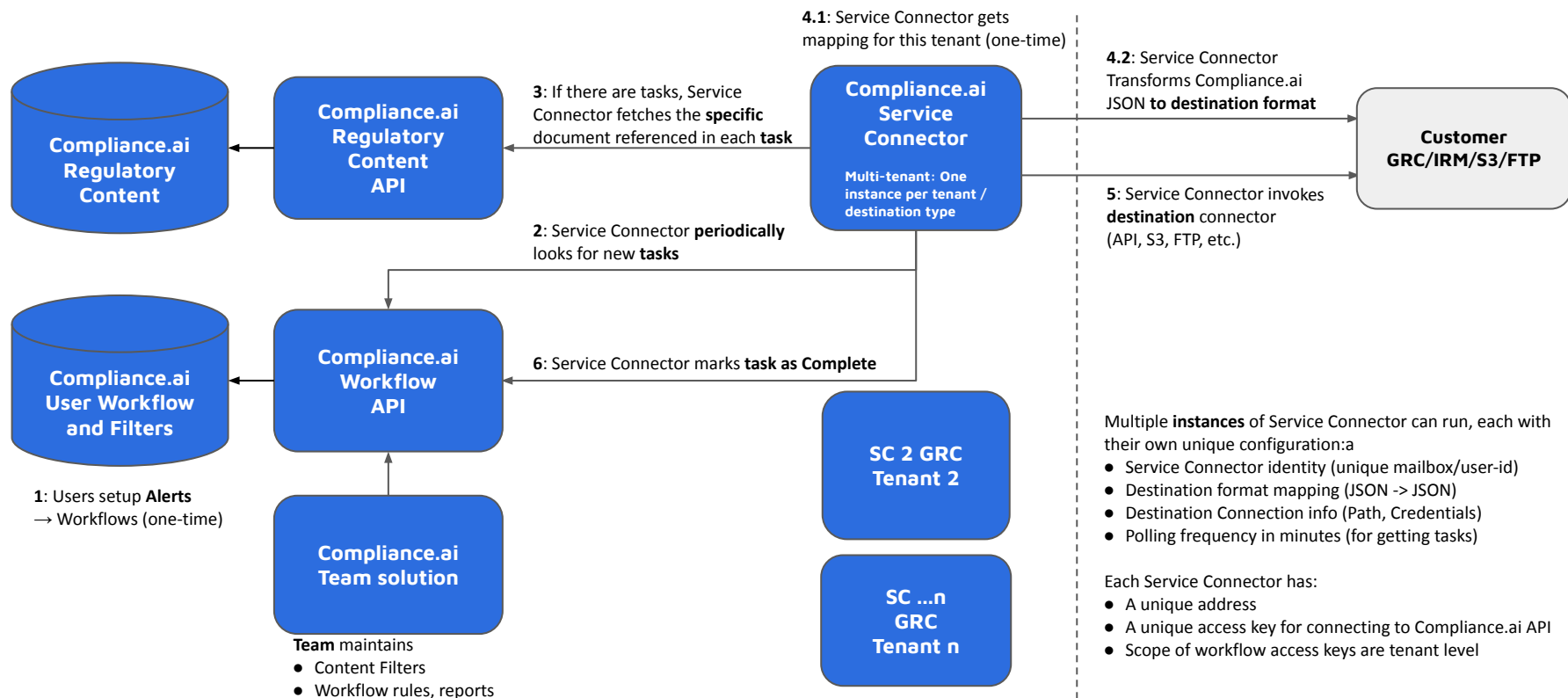
Protocol	Service Connector	API (RESTful)	RSS (XML 2.0)
SFTP (Push)	✓		
WebDAV over HTTPS (Push)	✓		
AWS S3 Bucket (Push)	✓		
RESTful API (Push)	✓		
RESTful API (Pull)		✓	
Custom API (Push)	✓		
HTTPS Digest (Pull)			✓

Enterprise Team Edition Integration Option 1: Pull from Compliance.ai

API or RSS-Based Integration



Service Connector-Based Integration



Riskonnect + Compliance.ai

Integration Option

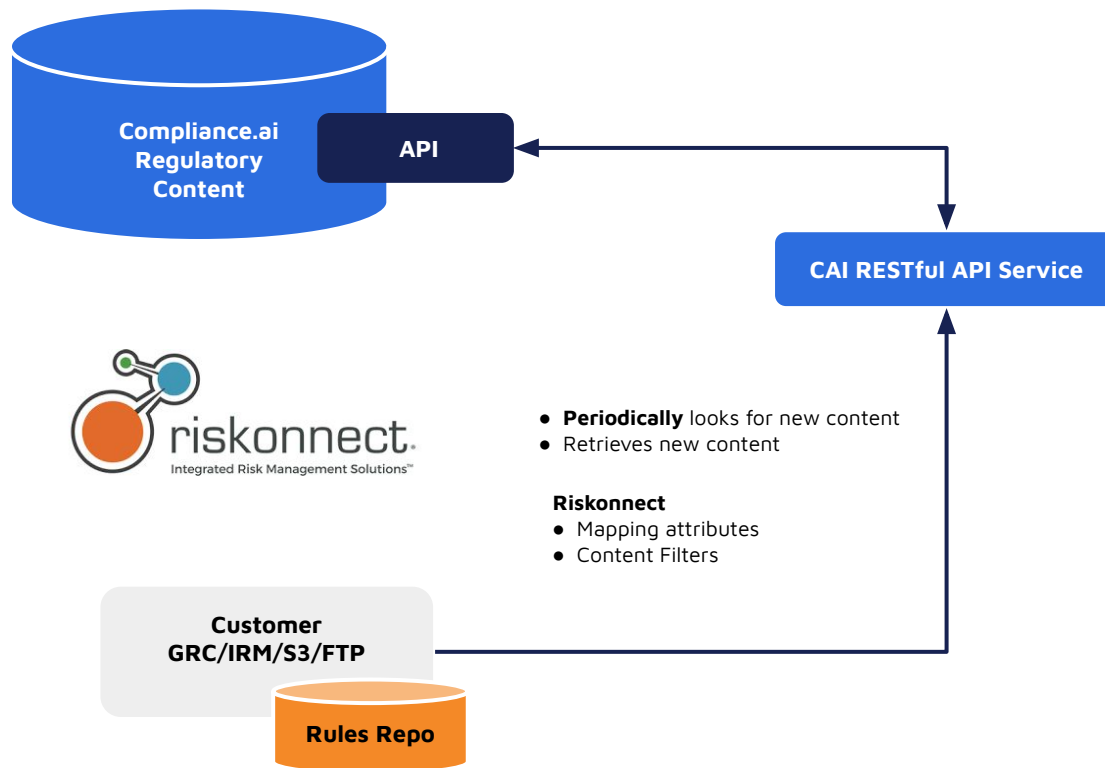
API Based

Use Case:

- Riskconnect enhances its regulatory document search capabilities by leveraging the Compliance.ai RESTful API, which provides access to a wide array of endpoints, including documents, agencies, topics, concepts, document types, and jurisdictions.
- Within the [Compliance.ai application](#), Riskconnect sets up [alerts](#) based on specific search criteria, automating the identification of documents that directly impact their business. Once configured, these alerts trigger automatic notifications whenever new documents matching the criteria are published, eliminating the need for manual searches.
- Compliance.ai application [advanced search](#) function enables the creation of expressive search expressions, like ((jurisdiction = "US-CA" AND agency != "SEC" AND topic = "Lending") OR cai_category = "Enforcement").
- These expressions can be seamlessly integrated into API calls, as demonstrated by the sample Python code `test_api_url`, streamlining the retrieval of desired documents with precision.

```
test_api_url = "https://api.compliance.ai/v1/searchoauth?advanced_search=((jurisdiction='US-CA'  
AND agency!='SEC' AND topic='1') OR  
cai_category='4514')&order=desc&sort=publication_date&limit=10&exclusive_fields=id"
```

Enterprise Team Edition: API Integration



Compliance.ai Confidential

Enterprise Team Edition: API Integration: How to

Authentication

Explore APIs

Integrate CAI search API into your application

- Register for an account on Compliance.ai developer API platform, For more information please visit [API User Guide](#)
- Confirm your new Compliance.ai account through received email.
- Login to Developer API platform to apply for access to the [API](#)
- Register Your New Application
- Select which Web APIs this application will use
- Ensure API plan you select aligns with your contract limit.
- Make a note and keep secure Client ID and Client Secret after your application registration is approved by Compliance.ai

Enterprise Team Edition: API Integration: How to

Authentication

Explore APIs

Integrate CAI search API into your application

- Go to <https://developer.compliance.ai/io-docs>
- Select “Swagger - OAuth 2.0 - Document Search API”
- Click “Authorize”
- Add in the obtained Client ID and Client Secret
- Explore Search Endpoints:
 - **GET Search Documents** to retrieve relevant documents based on the provided query.
 - **POST Search Documents** to retrieve relevant documents based on advanced query.
 - **GET Pre-Filtered Content** to returns content based on the alerts configured in the Compliance.ai application. Service Connector setup is required.
 - For more information about endpoints to retrieve content from compliance.ai got to [Reference API - Search](#)

Enterprise Team Edition: API Integration: How to

Authentication

Explore APIs

Integrate CAI search API into your application

- Prep: Create an [Alert](#) using Search feature in [compliance.ai application](#)
- Prep: Obtained the search query expression by using [Advanced Search](#) feature.
- Following authentication and Explore APIs, use the generated access token to structure API calls. Customize the API endpoint with parameters like search filters or generated search query expression based on alerts in compliance.ai application, sorting options, and result limits to tailor the search to your application's needs. The API will respond with relevant data based on the specified criteria.
- Here is a simple example in Python to call Compliance.ai Search API in your application: [Sample](#)

Riskconnect-Integration with Compliance.ai - sample code

```
import requests, json

authorize_url = "https://api.compliance.ai"
token_url = "http://compliance.api.mashery.com/oauth2/token"

#callback url specified when the application was defined
callback_uri = "https://api.compliance.ai"

#invoke Compliance.ai API with a simple search query
test_api_url = "https://api.compliance.ai/v1/searchoauth?all_agencies=true& order=desc&
sort=publication_date& limit=10& exclusive_fields=id"

#enter the provided client_id and client_secret from your Compliance.ai mashery my account -> keys ->
client_id = 'TODO_client_id'
client_secret = 'TODO_client_secret'

authorization_redirect_url = authorize_url + '?response_type=code&client_id=' + client_id + '&redirect_uri=' + callback_uri +
'&scope=openid'

data = {'grant_type': 'client_credentials', 'redirect_uri': callback_uri}
access_token_response = requests.post(token_url, data=data, verify=False, allow_redirects=False, auth=(client_id, client_secret))
```

Riskconnect-Integration with Compliance.ai - Sample code (continue)

```
print("Response:")
print(access_token_response.headers)
print('body:%s' + str(access_token_response.text))

# Use the access_token to access protected resources:
this_token = json.loads(access_token_response.text)
access_token = this_token['access_token']
print("Access Token:%s" + str(access_token))

# Call the Compliance.ai API end point with the new access token
api_call_headers = {'Authorization': 'Bearer ' + access_token}
api_call_response = requests.get(test_api_url, headers=api_call_headers, verify=False)
print(api_call_response.text)
```

Compliance.ai Resources

- Link to a pre-recorded training sessions - [Link](#)
- Link to Compliance.ai Customer Success Portal - [Link](#)
- Link to Compliance.ai Release Notes portal - [Link](#)
- Email any questions to: support@compliance.ai

Thank you!

