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Vistra Geni – Using APIs in the Era of Agentic AI

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About Vistra

Here at Vistra, our purpose is progress.

Entity, governance, employment, and compliance services – so organisations can operate and grow across borders.

As a close partner to our clients, our role is to remove the friction that comes with the complexity of global business. We support companies and private capital managers across the **corporate and private capital lifecycle**.

From legal entity management and regulatory compliance to HR, payroll, tax, and statutory accounting, we quietly fix the **operational and administrative** frustrations that hamper business growth.

By the numbers: • **9,000+** experts • **50+** markets • **200k+** managed entities • **11m+** payslips processed annually.

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Agenda

1. Introduction

2. The Compliance Challenge --> Meet Geni

3. APIs: Engine of Agentic Capabilities

4. Demo: Geni in Action

5. Case Studies & Implementation

6. Lessons & What's Next

The Compliance Challenge: Complexity, Velocity, Expectations

Today's modern compliance landscape

Exploding Regulatory Complexity

Frequent, multi-source rule changes overwhelm spreadsheets and manual trackers, increasing the risk of missed or late obligations.

Recurring Multi-Country Workloads

Replicated KYC, filings, and director changes across entities and countries create backlogs, SLA strain, and error-prone handoffs.

Real-Time Client Expectations

Stakeholders expect instant, accurate answers with clear next steps during the same interaction.

Execution Speed Bottleneck

The constraint is pushing data through ingest → verify → act quickly and safely, not a lack of subject-matter expertise.

The opportunity ahead

Augment with Safe Autonomy

Use guardrailed, API-driven agents to retrieve, validate, and draft - scaling throughput and consistency without adding headcount.

Done right, this paves the way for an always-on advisor that securely orchestrates steps with human oversight

Meet Geni: Your Always-On Compliance Advisor

*Your business is always **on**. So is Geni.*

Geni is the world's first AI compliance advisor, built to streamline global entity management with quick answers and proactive compliance.

What is Geni?

Compliance advice 24/7

Geni is always ready to provide instant answers to your compliance queries anytime.

Frictionless corporate actions

Instantly execute tasks like updating addresses or adding shareholders with Geni's help.

Make sense of your data

Geni analyses your entity data on our Global Expansion Platform for faster decision-making.

Connect with experts

Encountering challenges? Geni connects you to a real Vistra expert for personalised support.

Beyond Chatbots: True Agentic AI

Guardrailed Autonomy

Makes decisions within explicit parameters (policies, scopes, approvals, and SLAs), selecting and executing actions while preserving control and accountability.

Proactive Compliance Detection

Continuously monitors obligations, rule changes, and entity signals to surface risks early, propose remedies, and prepare filings before deadlines.

Self-Directed Retrieval & Synthesis

Independently gathers data from knowledge bases, normalizes it, and produces reasoned outputs ready for consumption.

Continuous Learning & Adaptation

Improves through human feedback, updated regulatory guidance, and operational telemetry, refining prompts, actions, and guardrails over time.

APIs: The Engine Behind Geni's Intelligence

API Foundation

- **System integration with internal databases and workflows**. Unifies authoritative data and actions from core systems to enable consistent, dependable operations
- **Real-time data exchange enabling autonomous operations.** Streams data and events so agents can decide and act immediately within guardrails.
- **Compliance knowledge base**. Curated, jurisdiction-specific guidance and procedures (versioned and freshness-checked) that power accurate, explainable advisory.

Building Blocks of Geni's API Architecture

Geni as an AI agent (orchestrator)
Perceive–plan–act–verify with tuning (temperature, top-p, top-k); lower values → more deterministic, consistent responses

Private data query
Role-aware retrieval over platform data in GEP to answer questions with business context.

Guardrails
Policy constraints, data residency/PII controls, rate limits, and exception handling that keep autonomy safe and compliant.

Secure authentication and data handling
Okta/RBAC, scoped tokens, encryption in transit/at rest, and full audit trails.

Demo: Geni in Action (Advisory, Data, Workflow)

Advisory

Ask a compliance question; Geni pulls from the knowledge base and returns an answer aligned to current procedures with clear next steps.

Data

Geni assembles a decision-ready view by normalizing and summarizing provided records/exports, surfacing gaps and key fields.

Workflow Tasks

For a corporate action (e.g., change of director), Geni generates structured checklists and draft language, with step-by-step filing guidance under guardrails.

Geni delivers compliance advice from the knowledge base and makes sense of your private GEP data by reconciling records. It then facilitates corporate actions end-to-end under guardrails.

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What You Just Saw: API-Enabled Agentic AI

Data Retrieval at Speed	Fetches relevant data in parallel and normalizes, de-duplicates, and summarizes it into a decision-ready view. Highlights key fields so teams can act without trawling raw sources.
Pulling from an Ever-Growing Knowledge Base	Taps a curated, continuously updated compliance knowledge base. Ensures guidance reflects the latest procedures and jurisdictional nuances.
Real-Time Decisions	Plans next steps within policy and SLA guardrails, selecting the safest, fastest path. Escalates uncertainty to humans and records rationale for transparency.
End-to-End Automation	Orchestrates a single flow—intake → validate → draft → submit guidance to reduce handoffs & delays. Produce structured checklists and drafts for handover to existing processes.

Creating Value on Two Fronts

For Professional (Internal)

Automation of routine compliance tasks
Agents handle retrieval, summarization, drafting, and checklists so teams spend less time on manual prep.

Focus shift to strategic advisory work
Freed capacity moves experts to edge cases, client strategy, and higher-value judgment calls.

Enhanced decision support
Structured options and risk flags reduce uncertainty and speed approvals.

For Clients (External)

24/7 access to compliance support
Instant answers and guidance are available anytime, reducing waiting and email loops.

Personalized service delivery
Advice is tailored by jurisdiction, entity type, and scenario context to remain relevant and practical.

Reduced compliance risk
Up-to-date knowledge, guardrails, and human oversight improve consistency and lower error rates.

Real-World Cases: Scaling Advisory and Orchestration

Peak Enquiry Handling (24/7 Advisory Desk)

Challenge: During peak periods, some Vistra salespeople receive up to 150 enquiries per day, creating delays, inconsistent answers, and heavy SME escalation.

Solution: Geni provides always-on advisory: auto-triages by topic/jurisdiction, retrieves answers from the curated compliance knowledge base and approved sources, and returns standardized guidance with clear next steps, escalating only edge cases.

Results: Faster time-to-first-answer, fewer SME escalations, and more consistent responses across regions and time zones.

Director Resignation & Replacement at Scale

Challenge: An enterprise with ~500 entities needed to resign a specific director who serves across five jurisdictions (multiple entities in each) and appoint a replacement, requiring a “needle-in-a-haystack” find.

Solution: Geni orchestrates the workflow as an assisted sequence: locate affected entities from provided records, surface jurisdiction-specific requirements, and generate structured checklists for resignation/appointment, with step-by-step guidance.

Results: Shorter cycle time to identify scope, fewer missed steps, and clearer ownership of actions across jurisdictions, without switching systems or processes.

Technical Implementation: Pyramid of Controls

Quality & Observability

- **Evaluate & monitor:** Evaluation harnesses, telemetry, alerts, and rate limits surface issues fast and prove reliability.
- **Tune for consistency:** Hyperparameter tuning balances determinism and clarity.

Guardrails & Human Oversight

- **Operate safely:** Policy scopes and uncertainty thresholds trigger approvals for sensitive steps and escalate exceptions.
- **Stay accountable:** Rationale, decisions, and outcomes are recorded for transparent review.

Security & Data Governance

- **Enterprise posture:** Privately hosted on AWS with RBAC and encryption; aligned with ISO 27001; no client data used to train public models.
- **Data controls:** Residency, retention, and PII masking/redaction; versioned, jurisdiction-aware knowledge with citations.

Desired Outcomes

Faster advisory turnaround: In-session, accurate answers.

Shorter cycle times: Streamlined intake → validate → draft → submit guidance.

Reduced compliance risk: Up-to-date knowledge + guardrails + human review.

Consistency at scale: Standardized guidance across jurisdictions and time zones.

Lessons Learned: APIs & Agentic AI (with Security Built In)

APIs
(as the contract)

Design for evolution: Treat APIs as stable contracts with clear versioning and deprecation paths.

Idempotency & retries: Guard against duplicates and flaky endpoints with idempotent patterns, backoff, and circuit breakers.

Security-by-default: RBAC/Okta, scoped tokens, least privilege, residency/retention, audit logs.

Observe and test: Use contract tests, synthetic monitors, latency/error budgets, and alerts to catch regressions early.

Stable, secure interfaces turn intent into dependable actions.

Agentic AI
(as the orchestrator)

Start simple: Begin with single-agent orchestration for reliability; add sub-flows only where they clearly help.

Guardrails & oversight: Use policy scopes and uncertainty thresholds to route sensitive steps to human review.

Right-size the model: Tune temperature/top-p/top-k toward determinism for compliance contexts and clearer outputs.

KB hygiene matters: Keep the knowledge base maintained, and jurisdiction-aware to prevent guidance drift.

Explicit abstention & hand-off: When uncertain or out-of-scope, the agent states it does not know and passes on to a human.

Plans and executes under guardrails with reviewable outcomes.

Roadmap: From Today to “Own Territory”

Geni, as of today

Phase 1
Where we are now

Always-on advisory from a curated knowledge base with assisted workflows (checklists and drafts) under guardrails and human oversight.

Designed for clarity, consistency, and control. No direct system write-backs.

Phase 2
What’s coming next

Expand the knowledge base and encode business know-how (playbooks, policies, FAQs) to deliver answers on par with top LLMs in clarity and consistency.

Broader jurisdictions, deeper procedures, and stronger business representation.

Phase 3
Evolving ahead

Add higher-value tasks like data extraction from documents, images, and audio (OCR, tables, transcripts) to speed analysis and preparation.

Multi-modal inputs → structured summaries for faster decisions.

Phase 4
Our own territory

Orchestrate end-to-end workflows: intake → validate → draft → compile documents → human approval/sign-off → system write-backs to designated records.

Post-approval updates flow to systems under RBAC and audit controls, preserving traceability and oversight.

Know more, read anything, complete the task, then update systems... safely, consistently, and under human oversight

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Conclusion: Transforming Compliance with Agentic AI

1. **APIs are the foundation** of truly agentic capabilities.
2. **Engine + Orchestrator:** APIs provide stable, secure contracts; an agent plans and executes controlled, reviewable steps.
3. **The future is collaborative:** AI + human oversight working in tandem.
4. **Build for Trust:** Security-by-default, RBAC and encryption, explicit abstention when uncertain, and clear auditability.
5. **Human Expertise, Elevated:** Free professionals for higher value tasks and exceptions while the agent handles routine steps.

Scan the QR code for more information on Geni

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