

# How FINRA Member Firms Use GenAI

Generative AI (GenAI) use cases are emerging quickly in the financial industry. This use portfolio reflects some of the most common GenAI use cases FINRA has observed among our member firms. We are sharing how we categorize and define these uses, as it may be helpful to our fellow regulators, member firms, and others to have a shared terminology to facilitate discussions of this fast-evolving technology.

## Use Case Types



### Summarization & Information Extraction

Condensing large volumes of text and extracting specific entities, relationships, or key information from unstructured documents



### Conversational AI & Question Answering

Providing interactive, natural language responses to user queries through chatbots, virtual assistants, and voice interfaces



### Sentiment Analysis

Assess the tone of the text as positive, neutral, or negative



### Translation

Translating text between supported languages, convert audio to text or vice versa



### Content Generation & Drafting

Creating a variety of written content, including documents, reports, marketing materials, and other resources



### Classification & Categorization

Automatically sorting, labeling, and organizing data, documents, or transactions into predefined categories or groups



### Workflow Automation & Process Intelligence

Optimizing business processes through intelligent routing, automation, and agents



### Coding

Generating functional code for specified inputs and output objectives



### Query

Retrieving results from structured databases with natural language



### Synthetic Data Generation

Refers to the process of creating artificial datasets that resemble real-world data but are generated by computer algorithms or models rather than being collected from actual observations or measurements



### Personalization & Recommendation

Tailoring products, services, or content to customer preferences and circumstances



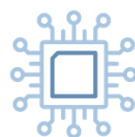
### Analysis & Pattern Recognition

Identifying trends, correlations, or anomalies in complex datasets to generate insights and predictions. Including the identification of threat activity of adversaries



### Data Transformation

Converting unstructured data into standardized formats



### Modeling & Simulation

Automation of financial modeling, forecasting, scenario creation, and simulations

**Disclaimer:** This publication reflects FINRA's observations of the most frequent Generative AI use cases among our member firms. It does not create new legal or regulatory requirements or new interpretations of existing requirements, nor does it relieve firms of any existing obligations under federal securities laws and regulations. FINRA reminds its member firms that FINRA's rules—which are intended to be technology neutral—and the securities laws more generally, continue to apply when member firms use Generative AI or similar technologies in the course of their businesses. For more information see [Regulatory Notice 24-09](#).

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