



AI in Legal & Regulatory Compliance

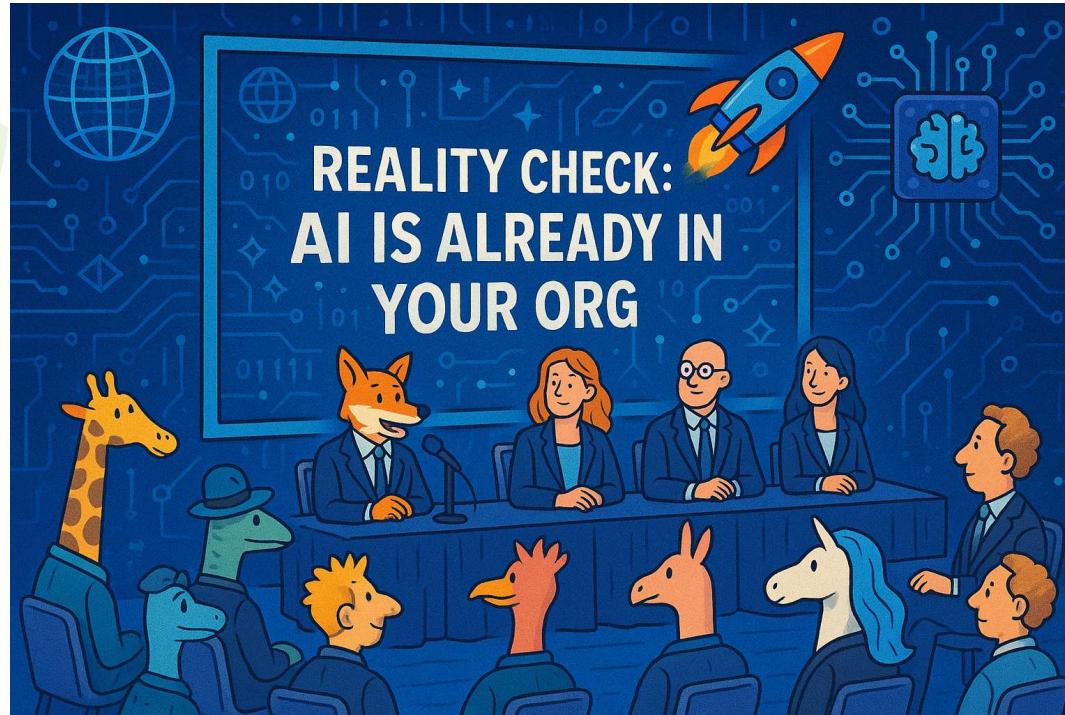
ACC Nutrition Law Symposium 9/12/25

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Founder & Principal, Apex Compliance

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Your Employees Are Using AI



Ensure You Have an AI Use Policy

Don't Train the Mothership



Risk Management & Legal Compliance

- Ensure compliance with evolving regulations
- Prevent unintentional generation of misleading or discriminatory content



Transparency & Accountability

- Define who is responsible for AI outputs and decisions
- Help teams understand what tools are approved and under what conditions



Internal Alignment & Consistency

- Set expectations for how different teams can and cannot use AI tools



Protect Company Reputation

- Set clear boundaries to avoid inappropriate or unethical AI usage
- Reduce the risk of public-facing AI content causing brand harm



Quality Control & Accuracy

- Ensure AI-generated content (e.g., documents, code, marketing copy) meets internal standards
- Prevent overreliance on unverified outputs



Enable Safe Innovation

- Encourage responsible experimentation within clear guidelines
- Make it easier to adopt powerful tools with confidence

Do You Have an AI Committee?

AI Steering Committee

- mix of employees from entry-level to senior leadership so you get a broad range of perspectives
- develop and review AI policies, ensure compliance with regulations, and educate employees on responsible AI use (encourage AI use and ideas work to understand perspective of employees)

**GIVES EMPLOYEES SAFE
PERMISSION TO FIND WAYS
TO USE AI WITH
GUARDRAILS**

- Reviewing new AI tools

GIVES EMPLOYEES SAFE PERMISSION



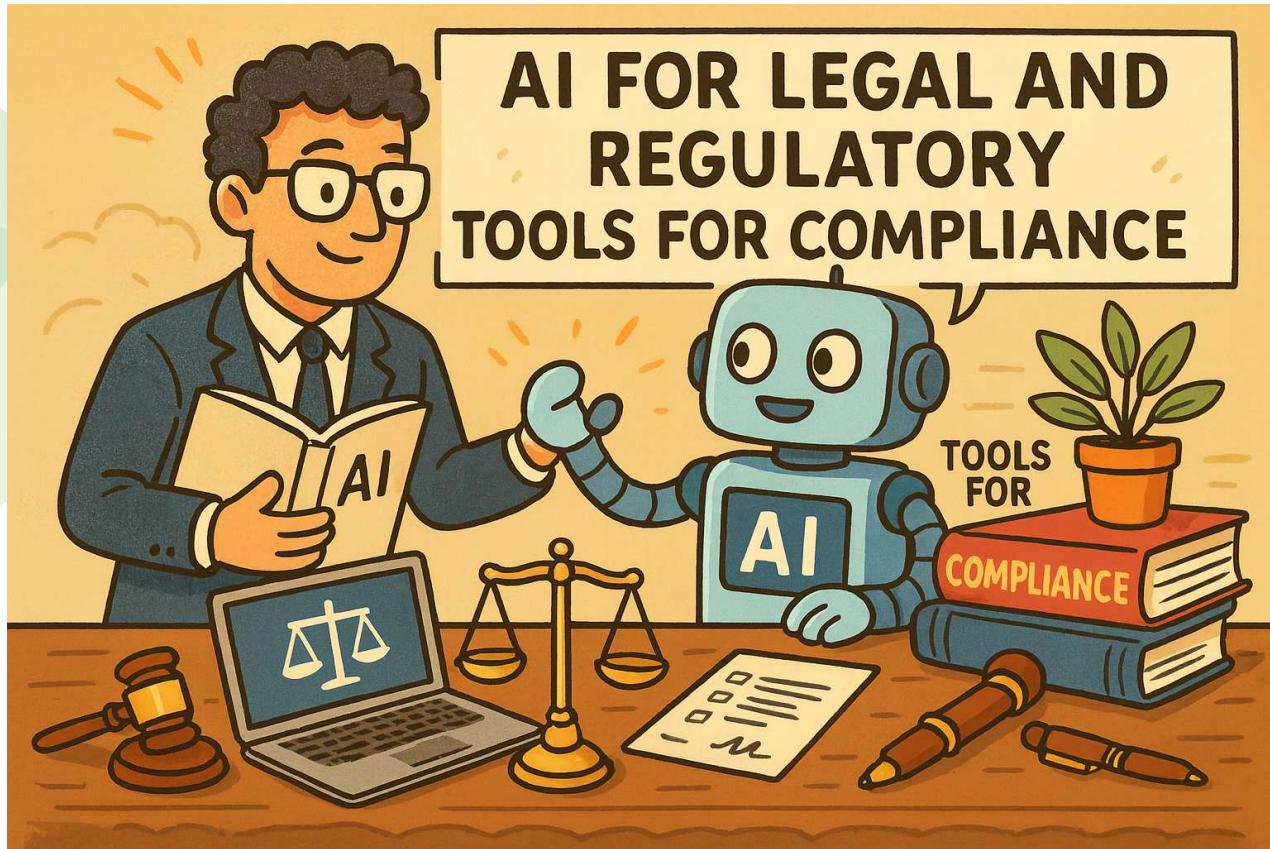
Asa Waldstein

- Founder & Principal: Apex Compliance Program
- Principal: Supplement Advisory Group
- Warning Letter Wednesday: 4+ years of weekly posts
- 20+ Years Manufacturing/Marketing Supplements
- Certified Clinical Herbalist (Boulder 2001)



Let's Connect





Legal Expert Lisa Ghannoum

Asa Waldstein



12-year-old
Asa
The beginning
and end of
my “acting”
career.

Quality & GMP Compliance



Counterfeit Detection: Vision-AI anomaly detection (label issues) and vendor inconsistencies



"Always On" AI can review manufacturing line (weight checks) and quickly surface Out Of Specification issues



AI Assisted Virtual GMP Inspections: Visual "issue" checks, review massive amounts of paperwork

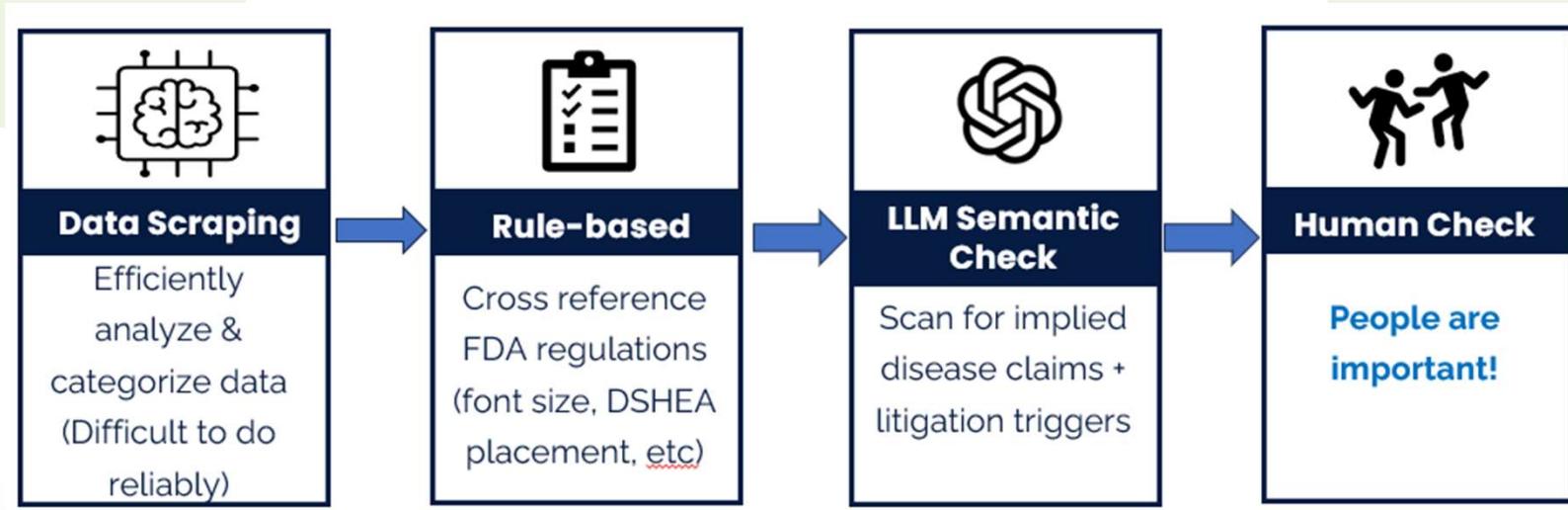


Documentation: AI reviews Batch Production Records (missing signatures, duplicate entries, in-process checks)

Stability: Review formulas to help with predictive stability and expiration dating

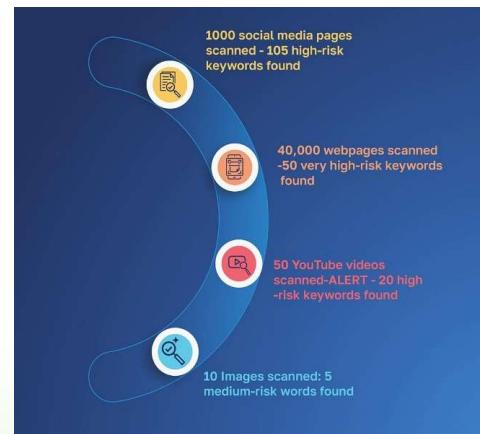
AI Assisted Label Compliance

AI Workflow that Reduces Review Time



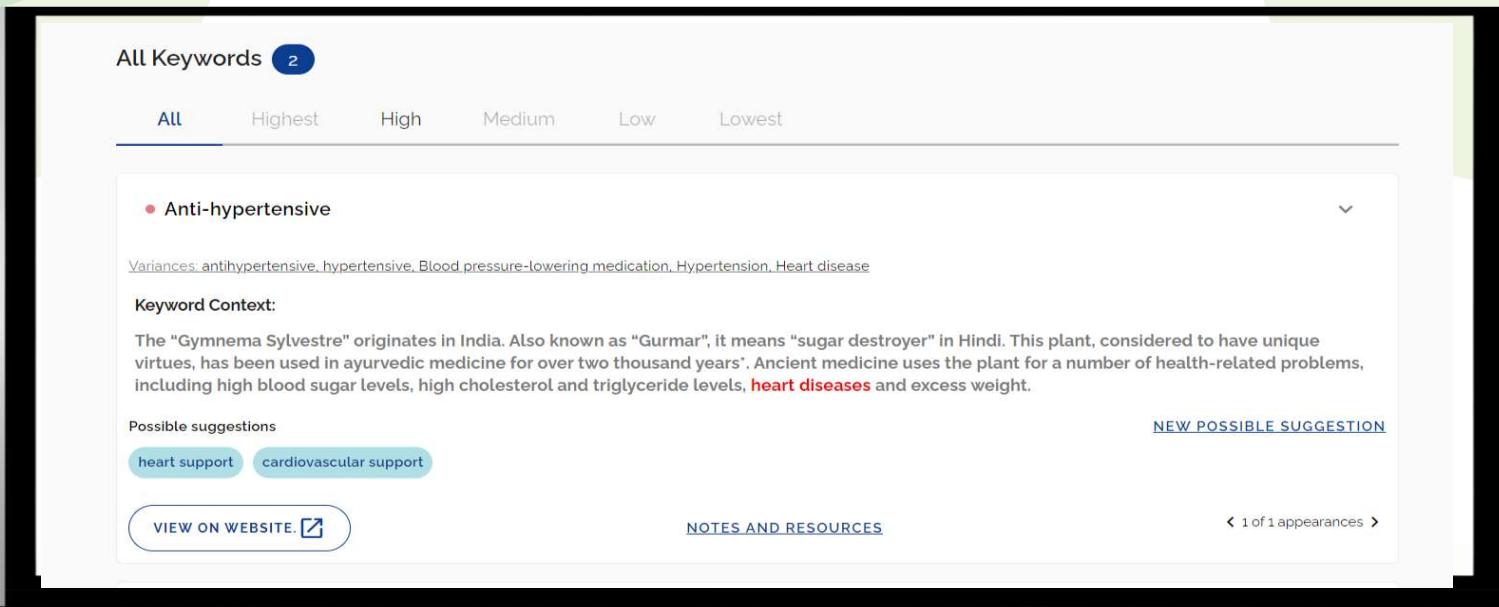
AI Assisted Compliance Review Case Study

Find The Regulatory Landmines and Save Time



AI Assisted Compliance Review Case Study

Websites, YouTube, Instagram, Facebook



The screenshot displays a user interface for an AI-assisted compliance review tool. At the top, a navigation bar includes a 'All Keywords' section with a count of 2, and a dropdown menu with options: All, Highest, High, Medium, Low, and Lowest. Below this is a list of keywords, with 'Anti-hypertensive' highlighted in red. A 'Keyword Context' section provides a detailed description of the term, mentioning its origin in India, its use in Ayurvedic medicine, and its various health benefits. It also highlights 'heart diseases' in red. A 'Possible suggestions' section lists 'heart support' and 'cardiovascular support' in blue buttons. At the bottom, there are buttons for 'VIEW ON WEBSITE' (with a link icon), 'NOTES AND RESOURCES', and a page navigation indicator '1 of 1 appearances'.

AI Assisted Compliance Review Case Study

Comprehensive Reports

Excel Report of Keyword: Anti-hypertensive			
Content	Keyword Risk Level	Possible Suggestion	Notes and Resources
The "Gymnema Sylvestre" originates in India. Also known as "Gurmar", it means "sugar destroyer" in Hindi. This plant, considered to have unique virtues, has been used in ayurvedic medicine for over two thousand years*. Ancient medicine uses the plant for a number of health-related problems, including high blood sugar levels, high cholesterol and triglyceride levels, heart diseases and excess weight.	high	If substantiated heart support,cardiovascular support	This and similar words are on the Amazon prohibited word list.





Case Study: AI Enhanced Content Review

The screenshot shows a software interface for content review. At the top, a navigation bar reads "Projects > Asa Doc > Review possible suggestions". On the right, there are "DOWNLOAD CHANGES" and "BACK" buttons. The main area is titled "Document" and shows a long text block. To the right of the text, "All Keywords" are listed with a count of 4. A modal window is open, titled "Choose AI-powered suggestions tailored to your content." It contains five options: "Option 01" (selected), "Option 02", "Option 03", "Option 04", and "Option 05". The "Old text" is "prevents heart disease." The "Smart replace" suggestion is "If substantiated", with the note "Supports cardiovascular vitality." At the bottom of the modal, there are buttons for "Supports heart health", "Maintains a healthy heart", "Assists in maintaining heart health", and a blue "New possible suggestion" button. A "BETA" label is visible in the bottom right corner of the modal. The bottom of the interface shows "NOTES AND RESOURCES" and "Apply to all < 1 of 1 appearances >".

Patent pending technology: Do not distribute publicly



Case Study: AI Enhanced Content Review

The image shows a tablet displaying the APEX Compliance software interface. The interface is a web-based application with a clean, modern design. On the left, there's a sidebar with the APEX logo, a 'Dashboard' button, 'All Keywords' (with a count of 1), and a 'Keywords List' button. Below that is a user profile for 'John's company' with 'MANAGE ACCOUNT' and 'LOG OUT' buttons, and a 'HELP' link at the bottom. The main content area shows a document titled 'FDA - Information'. At the top right are 'DOWNLOAD CHANGES' and 'BACK' buttons. Below the title, there's a 'Document' section with a snippet of text about winter being a challenging time for wellness due to colder temperatures, shorter days, and less sunlight. To the right of the document is a 'All keywords' section with a count of 1, and a filter bar with 'All', 'Highest', 'High', 'Medium', 'Low', and 'Highest'. A large speech bubble highlights a section of the document with the following text:

Risk Level: High
This article seems to imply that ingredients that you sell are used for cancer. To reduce risk remove words like “cancer” and instead focus on quality-of-life improvements such as meditation, hydrating, and walking.

Below the speech bubble, the document continues with a list of 5 tips for staying healthy in winter:

1. Weight: Boost your immune system, and give you the energy you need to stay active.
2. Get enough sleep: With the days being shorter, it's important to make sure you're getting enough sleep. Aim for 7-8 hours of sleep each night to help your body rest and recharge. If you have trouble sleeping, try establishing a bedtime routine, such as reading a book or taking a warm bath before bed.
3. Get outside: Even though it's cold, getting outside and enjoying some fresh air and sunshine can do wonders for your

AI Compliance Examples

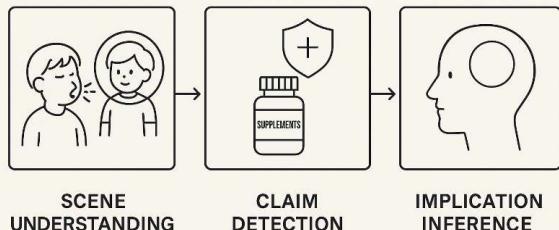
Context Matters

Risk level: Medium

Implied Immunity Protection

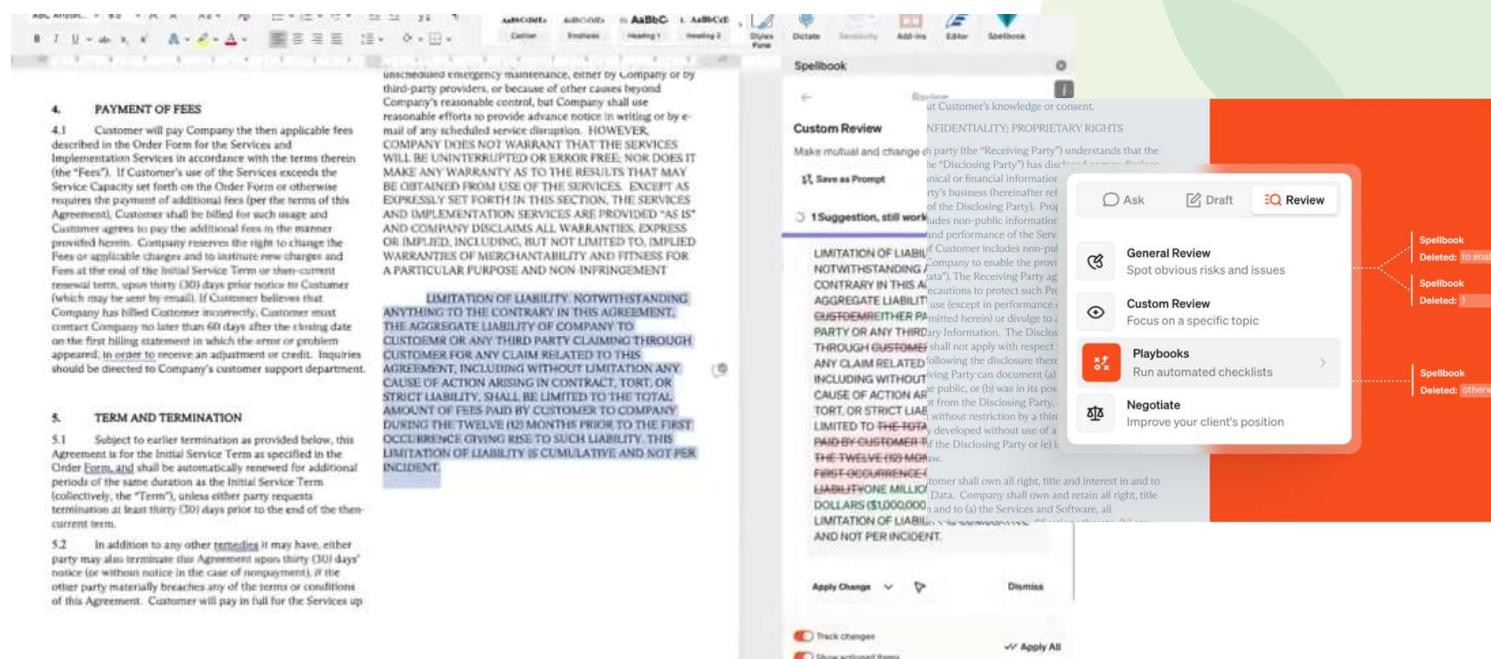
The sneezing child implies a sickness like a cold or flu and the other child appears to be protected within the probiotic straw. This, combined with the “immune strengthening” verbiage, has a medium risk of attracting lawsuits or regulatory issues. To reduce risk, replace “strengthening” with “support” and update the sneezing image to a non-sick image.

HOW AI CAN DETECT IMPLIED CLAIMS



AI Contract Review

Humans must be part of review and sign off process



AI Agents The Future of Work

Software programs that take on tasks and can make decisions on their own.

→ A really smart intern that works independently

Asa's Prediction: Everyone will have their own "hive" of personalized AI agents within a couple of years.



AI Agents

Compliance Monitoring & Surveillance

Example of agent interaction:

There was an interesting NAD case this week about marking dietary supplements on social media.

Would you like to prepare a 2-minute audio update on key takeaways and how this can impact your company?



Technology Tool Demystify Complicated Regulations

Google's NotebookLM

I provided the following CFR link to the program and asked it about nutrient content claims.

- 101.13 Nutrient content claims—general principles

Listen to the recording





Thank You

 Let's Connect



ApexComplianceProgram.com

