Artificial Intelligence - Compliance Concerns

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NAPFA CE Credits: 1.5
CFP® CE Credits: 1.5

This session will focus on compliance issues related to the use of artificial intelligence (AI) by an investment advisor, both state- and SEC-registered. It will also focus on current regulatory guidance on the use of AI, both explicit and implicit. Finally, advisors will learn where regulation may be headed and how to protect their firms and their clients from possible regulatory and cyber pitfalls.

Learning Objectives:

1. Learn compliance pitfalls to avoid when using AI in prospecting, advertising, and client correspondence
2. Understand key terms in the regulations that are developing for AI use with clients
3. Understand AI-specific risks related to financial and cyber fraud