



Alternative Investment Insight through
Research, Training and Increased Efficiency

AI Insight can help to support your firm's Regulation Best Interest compliance process

AI Insight is the industry's leading online resource for alternative investment research, training and compliance support. The foundation of our platform was built based on interactive feedback and reference to regulatory guidance with FINRA and SEC.

AI Insight offers tools and training to help you comply with the SEC's Regulation Best Interest standards and requirements outlined on the following page.

View the *AI Insight Regulation Best Interest Resource Guide* for a comprehensive account of all AI Insight support tools available as well as resources from our industry partners.

Questions? Contact AI Insight Customer Care at (877) 794-9448 or customer care@aiinsight.com.

Summary of AI Insight Training & Tools to support Regulation Best Interest requirements



Regulation Best Interest Obligation	AI Insight Support Resource
<p align="center">Reg BI Compliance Obligation:</p> <p>“you must establish, maintain and enforce written policies and procedures reasonably designed to achieve compliance... training, and periodic review and testing as part of those policies and procedures”.</p>	<p align="center">Training available to advisors to support obligation:</p> <ul style="list-style-type: none"> • Customized training modules and automated training process to assist with new WSPs • Documenting and storing initial and ongoing role-specific testing • Advisor training using, “Understanding Regulation Best Interest” CE credit course
<p align="center">Reg BI Care Obligation:</p> <p>“you must exercise reasonable diligence, care, and skill when making a recommendation to a retail customer”.</p>	<p align="center">Reporting tools available to advisors to support obligation:</p> <ul style="list-style-type: none"> • Comparative Reports • Financial Performance Reporting • Industry Reports • Program Fee & Expense Report • Streamlined Program Review Process
<p align="center">Reg BI Care Obligation:</p> <p>“...factors the broker-dealer considers to assess the potential risks, rewards and costs of the recommendations....related to more complex, risky or expensive products...”</p>	<p align="center">Testing and tools available to advisors to support obligation:</p> <ul style="list-style-type: none"> • Regulatory-based training for complex products • Program Summary Report • Training , Education and Research Log