



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

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

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

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

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

# Summary of Training & Tools available on the AI Insight platform to support Regulation Best Interest requirements

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

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