



Getting Started: AI Insight Platform Implementation

To fully implement the AI Insight platform for your firm, we'll provide you with all the support you need. A training manager will be assigned to guide you through the implementation process and train you to be sure your firm is getting the most out of the AI Insight subscription.

Participate in AI Insight training sessions

Once the subscription agreement is signed, we will schedule several training WebEx interactive training sessions:

- 1. Administrative training:** Up to three sessions with your training manager to set customizations for your firm. **Expected completion time: 1-2 weeks.**
- 2. User training:** Up to four training sessions conducted by our AI Insight Training Manager. **Expected completion time: 3-4 weeks.**
- 3. Ongoing support:** A Customer Service Associate will be assigned to the firm's account to call users for ongoing training. Our customer service support is available Monday through Friday, 8:00 am – 6:00 pm EST at 877-794-9448 x 710 for additional support.



Select the integration option for your users

- 1. Single Sign On (SSO) (Recommended):** Users will log onto your intranet system to access AI Insight. ***This would require a one-time integration fee which would be determined following a discovery call with our technology division.***
- 2. One-time upload:** Conduct a one-time upload of all your users where AI Insight will create the username and passwords based on a file provided by your firm. ***There is a one-time fee of \$375.***
- 3. Link to register:** Two links will be provided on your intranet site. One link would allow users to *click to register* with the AI Insight system. The other would allow returning users to logon to the system. There is no additional integration fee for this option.



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AI Insight Preparation Questionnaire

To help you prepare for the Admin training, review the following list of areas that will be covered.

General

- What is the launch date for users?
- Who in your firm will be administrative users who can upload selling agreements, customize education modules, and more?
- Will you use the automatic compliance log download option for an additional fee? Test information from AI Insight will be fed into your internal compliance database. Note: There is an additional fee for this option.
- Do you want to use the OSJ supervisory feature?

Education Modules

- What is your program education module protocol? Optional but required to sell (recommended), Optional, Required, Optional with plans to move to Optional but required to sell
- What is the passing threshold for open book education modules? (100% is recommended)
- Should prior AI Insight testing history be accepted from a new user's former broker-dealer? You can also select to review on a case-by-case basis.
- Should users to have the ability to request offering materials or download offering documents before passing the test? (recommended)
- If a user answer "No" to the first question in each test (which is "Have you reviewed the prospectus or PPM?"), they are locked out of the system for a set period of time. How long do you want that to be? (1 hour is recommended.)
- Do you want to set a retake frequency? For example, should users be required to retake the test annually to continue to sell the products?
- If a user incorrectly answers the same question a certain number of times, do you want to receive an email letting you know? Most questions have four possible answers, so three times is a common threshold for this option.
- Do you want to use the smart test features?

Selling Agreements, Alternative Investment Policies, Notes

- Do you have any forms, policies, or notifications that are required that relate to all alternative investments?
- Will a policies and procedures for alternative investments be uploaded to the system for prerequisite review by users? If yes, we will create a test to serve as an attestation document before they are allowed to take any other tests in the system.

Thank you for joining AI Insight. We look forward to working with you to provide comprehensive training on Alternative Investments. If you have questions, contact Ann Saline at (877) 794-9448 ext. 712 or asaline@aiinsight.com.