



Alternative Investment Insight through Training, Education and Increased Efficiency

Alternative Investments: DOL Fiduciary Rule Support from AI Insight



It is critical for advisors to have the tools they need to help them adapt to new standards under the DOL Fiduciary Rule – and remain competitive.

Advisors who have the following will enjoy the highest probability for success:

- Clear and full understanding of their responsibilities
- High level of insight and transparency into the products they offer
- Tools to document the “care, skill, prudence, and diligence”¹ that go into product training and research

Ask AI Insight about how we can help your firm and advisors remain adaptable, competitive and compliant with the following tools:

- Determine “reasonable compensation”¹ for alternative investments** by performing detailed fee and compensation analysis using AI Insight’s Program Compensation Report.
- Support a “stringent supervisory structure”¹** by proactively, efficiently and consistently communicating your DOL rule policies and procedures on the AI Insight platform, including firm specific attestations.
- Create customized testing** using a step-by-step tool that focuses on crucial product information, including details specific to commissions, compensation and fees.
- Document advisor training and research** on individual investments, sectors or industry topics with AI Insight’s Training, Education and Research compliance log.
- “Correct any identified problems”¹** in advisor comprehension for products being presented using AI Insight’s missed question alerts and analysis.
- Ensure you have a “mechanism in place for the ongoing monitoring of the investment”¹** with our Financial Performance Reporting feature—which keeps you up-to-date on product performance and updates.

¹Department of Labor Conflict of Interest Final Rule, Best Interest Contract Exemption (April 2016)

Contact AI Insight Today!

www.aiinsight.com
877-794-9448
newssubscriptions@aiinsight.com