



Alternative Investment Insight through Training, Education and Increased Efficiency

Alternative Investments: Supporting the DOL Fiduciary Rule with AI Insight



In the wake of the DOL rule, it is critical for advisors to have the tools they need to help them adapt to the new levels of fiduciary standards—and remain competitive.

Advisors who have the following are most likely to succeed with the highest level of confidence:

- 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** with the help of AI Insight’s Reasonable Compensation Report (Available in Fall of 2016).
- 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!

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