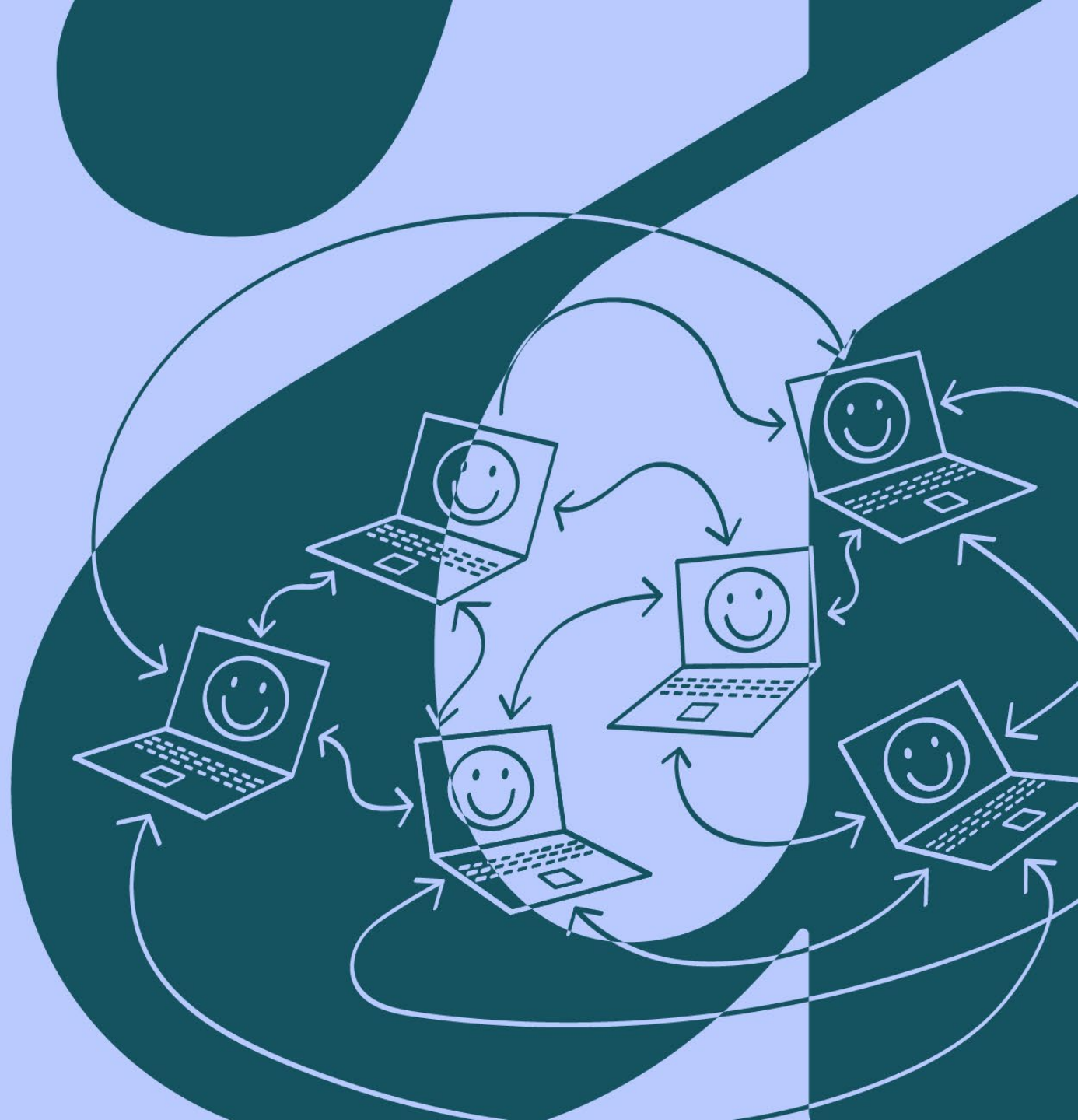


AI for Financial Professionals

Understanding, Applying & Using It Responsibly



What We'll Cover Today



01

Understanding AI

What artificial intelligence is, how it works, and where it's already transforming finance



02

Best Practices

Practical strategies for getting the most value from AI tools in your daily work



03

Responsible Use

Ethics, compliance, and risk management for AI in financial services

What Is Artificial Intelligence?

A simple framework for understanding AI

In Simple Terms

Artificial intelligence refers to computer systems that can perform tasks typically requiring human intelligence — like reading documents, recognizing patterns, making predictions, and generating text.

Machine Learning

Systems that improve by learning from data patterns over time

Generative AI

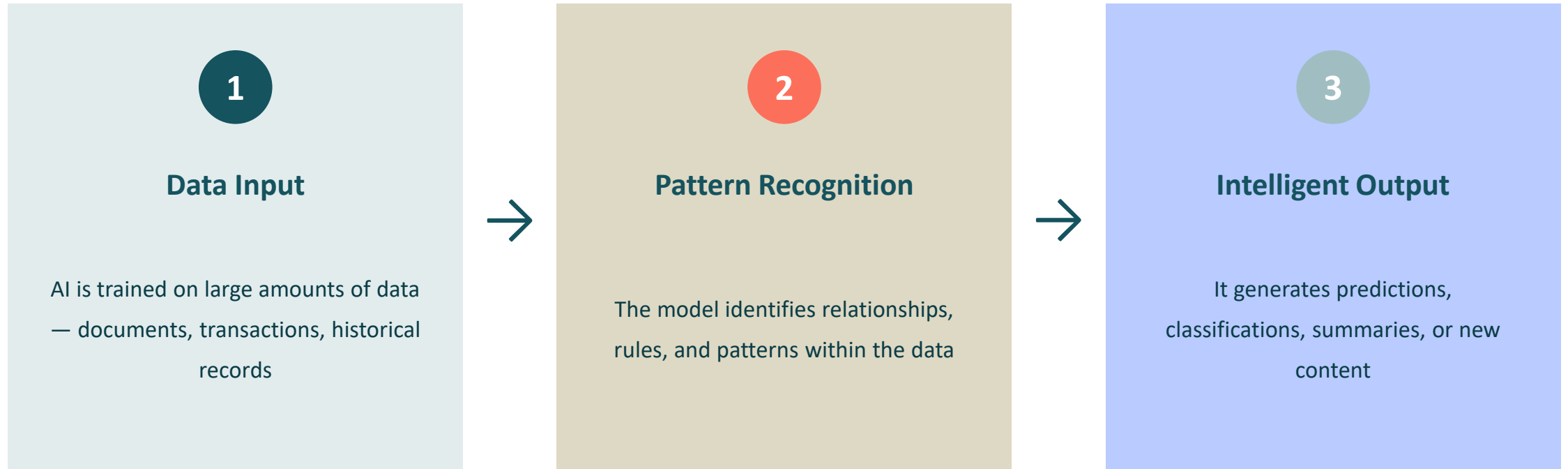
Creates new content — text, summaries, analysis — from your prompts

Agentic AI

Autonomous agents that plan and execute multi-step workflows to achieve a goal, rather than just answering prompts.

How Does AI Actually Work?

The basic process behind AI-powered tools



Think of it like training a new analyst — but with millions of examples instead of weeks of shadowing.

AI in Finance Today

Real-world applications already in use across the industry

Client Service



Intelligent chatbots and automated responses for routine client inquiries

Document Processing



Extracting key data from forms, contracts, and regulatory filings at scale

Fraud Detection



Real-time monitoring of transactions to flag suspicious activity before losses occur

Risk Assessment



Automated portfolio analysis, stress testing, and credit scoring models

What AI Does Well

Tasks where AI excels and can add immediate value



Analyze Large Datasets

Process thousands of records in seconds



Automate Repetitive Tasks

Handle routine processes consistently



Spot Patterns & Anomalies

Detect trends humans might miss



Draft Communications

Generate emails, reports, and memos



Summarize Documents

Condense lengthy reports into key points



Generate Visualizations

Create charts and dashboards from data

Understanding AI's Limitations

Knowing what AI can't do is just as important as knowing what it can

AI Can

- ✔ Process data faster than any human
- ✔ Follow consistent rules every time
- ✔ Work around the clock without breaks
- ✔ Learn from patterns in historical data
- ✔ Generate drafts and starting points

AI Cannot

- ✘ Exercise professional judgment
- ✘ Guarantee accuracy of outputs
- ✘ Understand nuanced client needs
- ✘ Replace regulatory accountability
- ✘ Make ethical decisions on its own

PART 2

Best Practices for Using AI

osaic.com



Your First Steps with AI

A practical roadmap for getting started

1

Start Small

Begin with low-risk tasks — summarizing notes, drafting internal emails, organizing data

2

Always Verify

Treat every AI output as a first draft. Review for accuracy, especially numbers and facts

3

Learn to Prompt

Give clear, specific instructions. Include context, format preferences, and constraints

4

Scale Gradually

As you build confidence, expand to more complex tasks and integrate into workflows

The Art of Prompting

Better instructions lead to dramatically better results

Less Effective



“Summarize this report.”



“Write an email to a client.”



“Analyze this data.”

More Effective



“Summarize this quarterly earnings report in 5 bullet points, highlighting highlighting revenue changes and risks for our advisory clients.”



“Draft a professional email to a client explaining their portfolio’s Q1 portfolio’s Q1 performance, noting the 7% gain and recommending a recommending a review meeting.”



“Analyze this transaction data for the last 90 days. Flag any unusual patterns and format findings as a table.”

AI Tools for Financial Professionals

Categories of tools available today



Communication

- Email drafting & summarization
- Meeting notes & action items
- Client correspondence



Document Analysis

- Contract review & summarization
- Regulatory filing extraction
- Report generation



Data & Analytics

- Automated data cleansing
- Trend analysis & forecasting
- Anomaly detection



Research & Compliance

- Market research synthesis
- Regulatory change monitoring
- Due diligence support

PART 3

Responsible AI Use

osaic.com



Principles of Responsible AI

Six pillars for ethical and effective AI adoption



Transparency

Always disclose when AI is used in decision-making or client communications



Accuracy

Verify all AI-generated content before using it using it — especially financial data and figures figures



Privacy

Never input sensitive client data or PII into into unauthorized AI tools



Fairness

Monitor for bias in AI outputs, particularly in lending and client targeting



Accountability

Humans remain responsible for all decisions — AI assists but doesn't replace judgment



Human Oversight

Maintain human review for all critical decisions, especially those affecting clients

Compliance & Risk Management

Key considerations for AI in regulated financial services



Data Privacy

Never process client PII through unauthorized platforms!!!



Client Confidentiality

Maintain fiduciary obligations. AI-generated communications must meet the same standards as human-authored ones.



Regulatory Requirements

Stay current with SEC, FINRA, and state regulations on AI use in financial advice and client interactions.



Audit & Documentation

Keep records of AI-assisted decisions. Document prompts, outputs, and human review steps for compliance audits.

Key Takeaways



AI is a powerful tool — but it's a tool, not a replacement for your expertise



Start small, verify everything, and scale as your confidence grows



Better prompts lead to dramatically better results

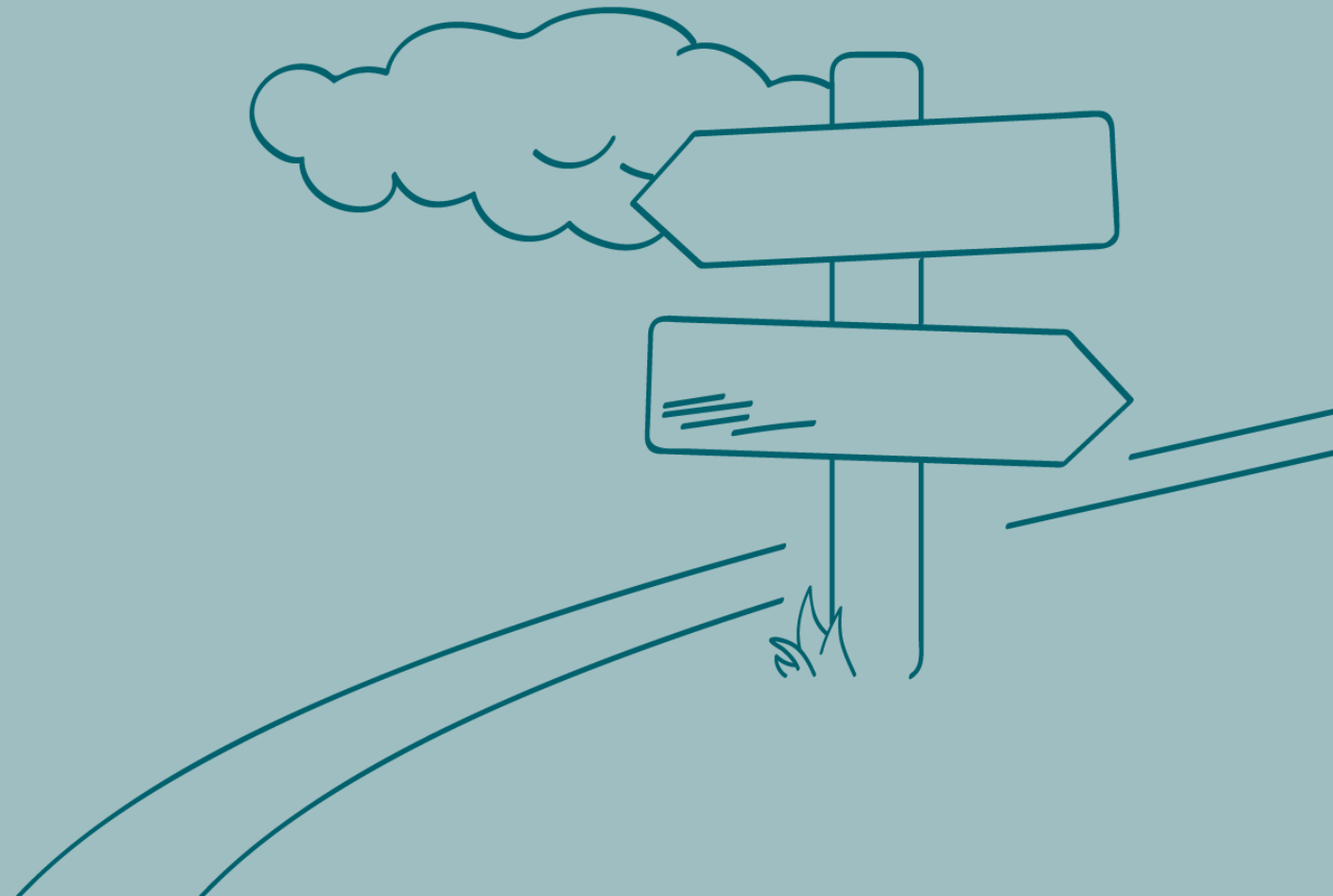


Responsible use protects your clients, your firm, and your reputation



Always keep a human in the loop for critical decisions

Was that the
greatest
presentation
you've ever
seen?





Well guess what?

The preceding slides
were completely made
using AI

The Prompt

"Take what you know about the best practices for using AI and create a presentation to be given at a conference on what AI is, how to best use it and how to responsibly use it. The audience is financial professionals who may have little experience with AI. It should be approximately 15 slides long."

Add Clearer Instructions

Create the PowerPoint using the same font, colors, layouts, slide backgrounds and other things from the attached presentation



And Again Until You Get What You Want

Change the font to Marselis Pro and Marselis Pro Light and use different colors from the color scheme for some of the boxes on the slides. They are all the same color.

Approved AI Powered FinTech Tools



We're focused on providing AI-powered tools that enhance **Productivity**, fuel **Growth**, and offer you the **Choice** and **Flexibility** to meet your needs and integrate with your Tech Stack.

AI Notetakers

AI notetakers allow you to reduce the need for manual meeting notetaking and follow-up, providing you and your staff more time to spend on other areas of your business.



osaic

Estate Planning

Wealth.com and Vanilla use AI to modernize estate planning services for clients. They provide tools to create and analyze estate documents and visualize scenarios, aiming to increase efficiency and improve client relationships.



Fraud/Scam Prevention

Carefull is a financial safety platform designed to help protect clients and their families from increasing risks such as fraud, scams, identity theft, and financial mismanagement. It offers intelligent account monitoring, collaborative tools, and insurance-backed protection to create a secure financial environment for households.



Prospecting

FINNY and Catchlight are AI-enabled growth and prospecting platforms for financial advisors designed to improve organic growth by helping advisors focus on the most promising opportunities. They emphasize automated prospect discovery using machine-learning models to identify high-intent prospects and prioritize them based on likelihood to convert, so advisors can focus more time on client relationships.



Automated Documentation

Scribe is an AI-powered documentation platform that automatically captures how work gets done and converts it into clear, step-by-step process guides. By recording real user actions, Scribe eliminates manual documentation effort while ensuring procedures are accurate, visual, and easy to share.





OneHub

osaic.com

Friendly Reminder: Home Page Customization

The screenshot displays the OneHub user interface. At the top, the navigation bar includes the **osaic** logo (Empowering Wealth), **OneHub**, and menu items for **Solutions**, **Reporting**, **Support**, **News**, **Community & Events**, and **Osaic App Store**. A search icon and a user profile icon are also present.

The main content area features a large dark green banner for a **Service Excellence Town Hall** on **Wednesday, May 27 | 2 p.m. ET / 11 a.m. PT**, with a prominent **Register now** button.

Below the banner is the **Homepage Customizer** interface, which includes a **Cancel** button and an **Apply Changes** button. Five widget options are shown in a row:

- Events**: A calendar view showing dates like Sun 27 and Thu 31 with event titles such as 'COMPLEED 2024' and 'Generating Report...'. Includes a 'View All' link and a plus icon.
- Favorite Links**: A vertical list of 'Custom Link' items, each with a right-pointing arrow. Includes a plus icon.
- Notifications**: A list of notification items like 'Notification Center (10)', 'Support Center (10)', and 'eQuit (10)'. Includes a plus icon.
- On Demand Reports**: A list of report categories such as 'Direct Deposit Report', 'Line of Business Report', and 'ATR Rep Profile'. Includes a 'View All' link and a plus icon.
- Osaic News**: A list of news items with dates and titles like 'Supervision reminders to help your (compliant) business thrive' and 'Cyber alert: DocuSign phishing scam'. Includes a 'View All' link and a plus icon.

How do I export client data?

Households

You're viewing data for: 4FC - Regan, Francis | AUA: 4FC | Revenue: 4FC,1UH7 | Revenue Date: May 4, 2025 - May 4, 2026

Assets Under Administration: **\$64,761** | Total Revenue: **\$0** | Households: **3**

Filters: AUA: All | Revenue: All | Search: by HH, Client, Acct Nbr, or SSN | 4 Results | Download

Household Name	Primary Member	Total HH AUA	AUA	Revenue	Rep Code	Rep Name	Clients	Accounts
Edquist J Eric	Kay Edquist	\$43,248.92	\$43,248.92	\$0.00	4FC	Regan, Francis	1	6
Joe Household	Joe Modelfolio	\$13,423.17	\$13,423.17	\$0.00	4FC	Regan, Francis	2	3
Dipuma M Dominic	David Cochran	\$8,088.57	\$8,088.57	\$0.00	4FC	Regan, Francis	1	2
Unmatched		\$0.00	\$0.00	\$0.00			0	0

AI-assisted search coming soon

osaic
Empowering Wealth

OneHub Solutions Reporting Support News Community & Events Osaic App Store

Home Office
V2020
+
ABI
RegEd
eQuipt
OneView

Search Results

Filters [Reset](#)

Category

- Content
- News
- Events
- Apps
- Knowledge
- eForms
- Documents
- Planninghub

Date

- Next Year
- Rest-of-year
- Next 30 Days
- Next 7 Days
- Today

Including results for: [what consolidated report vendors am I allowed to use?](#)

You are only allowed to use OneView, WMP, or an approved third party vendor for consolidated reporting[1]. Only these vendors are permissible for creating consolidated reports; advisors are not permitted to self-create templates for reporting[1]. To determine if a technology vendor is approved, you must refer to the reviewed technology vendors list—if "Yes" appears under "Can I Use It" and the category and usage conditions are met, then that vendor is permitted for use[4]. Not all features of a particular platform may be approved, so check the list to confirm which functionalities you are allowed to use[4].

1 2

This response is AI generated and may contain mistakes

Approved Consolidated Reporting Vendors

Regulators continue to closely scrutinize consolidated reporting, especially when reports contain manually added assets, which must be easily identifiable as such. To ensure that Osa...

Jun 7, 2024 [News](#)

Supervision of Consolidated Reports

?

Safeguard Reviewed Vendor List



Home Office

V2020



ABI



RegEd

eQuipt

OneView



Safeguard Reviewed Vendor List

This list contains reviewed technology vendors that have been submitted to the Safeguard vendor intake group. To use this list, filter by category or use the Keyword box to search by vendor or product. This list scrolls horizontally. If you are permitted to use a technology, Yes will appear under Can I Use It. Public Use indicates whether a technology can be used with staff in the office only (Internal) or with clients and members of the general public (Public). Not all features of a particular platform may be approved for use, the Category and Usage Conditions determine what is acceptable for use. For example, a platform may have multiple features (such as a CRM, email marketing system, online scheduler, etc.) under the same name. If only certain portions are approved, the respective categories will be listed. For additional information on available discounts, [view the Discounts & Perks page](#).

Disclaimer: This is an ever-changing list and will continue to evolve as technology and regulatory requirements shift. We review and update approved systems frequently, given how quickly tools and platforms change. If you have a new vendor you would like us to know about, [submit an indication of interest](#).

Filters Can I Use It Yes/No Public Use All Category All Keyword 234 Results

Vendor	Category	Product/Service	Can I Use It	Public Use
Zoho Corporation Pvt. Ltd.	CRM	Zoho	Yes	Public
Zoho Corporation Pvt. Ltd.	Appointment Scheduler	Zoho Bookings	No	Not Approved
Zocks	AI Transcription	Zocks	Yes	Public

Ideas Lab

The screenshot shows the Osaic Ideas Lab web application. At the top left is the Osaic logo with the tagline "Empowering Wealth". The main navigation bar includes "OneHub", "Solutions", "Reporting", "Support", "News", "Community & Events", and "Osaic App Store". On the right, there is a search icon, the user name "Eric Baumgardner", the date "Tuesday, May 5, 2026", and a profile icon. A vertical sidebar on the left contains several menu items: "V2020", a "+" sign, "ABI", a stylized "B" logo, "RegEd", "eQuipt", "OneView", a lion logo, and a "P" icon. The main content area features a dark teal header with a lightbulb icon and the text "Ideas Lab" underlined in green. To the right of the header is a yellow line-art illustration of laboratory glassware. Below the header, the text reads: "From ideas to impact – designing the future together." followed by a "Submit feedback" button. A paragraph follows: "Welcome to Ideas Lab – your single destination to influence what's next, ensuring future enhancements drive real business impact. As solutions are committed, you'll see them appear on our Service Excellence [technology roadmap](#) for visibility into development timing. Need a quick overview? Refer to this [quick-start guide](#)." Below this is another instruction: "Browse the ideas below and vote on potential solutions or submit a new concept by clicking the **Submit feedback** button." A search bar with a magnifying glass icon and the text "Search" is positioned below the text. At the bottom, a horizontal navigation bar contains several tabs: "Account management" (which is underlined), "Advisor acquisition", "Client service & support", "Operations management", "Technology & compliance", and "My Votes". A help icon (a question mark in a circle) is located at the bottom right of the main content area.

OneHub Feedback

The screenshot shows the OneHub dashboard interface. At the top left is the Osaic logo with the tagline "Empowering Wealth". The main navigation bar includes "OneHub", "Solutions", "Reporting", "Support", "News", "Community & Events", and "Osaic App Store". On the top right, there is a search icon, the user name "Eric Baumgardner", the date "Tuesday, May 5, 2026", and a profile icon. A vertical sidebar on the left contains icons for "V2020", a plus sign, "ABI", a leaf icon, "RegEd", "eQuipt", "OneView", and a "P" icon. The main content area features a dark green banner with the text: "Hear market updates on **private equities** and additional **alternative investments** insights from Osaic Research's Phil Blancato and KKR's Pat Nelson. **May 7, 2026 | 3:00 p.m. ET**". Below the banner are three sections: "Notifications" with links to "Support Center", "TR Prep - Rep (0)", and "eQuipt"; "Podcasts" with "Technology Podcast" (Aidentified's General Manager Dan Cavanaugh: ...) and "Market Impact Podcast" (Weekly Market Impact: May 4); and "Reports" with "Commission Report Center". A "OneHub Resources" dropdown menu is open on the right, listing "OneHub Guides", "Feedback", "Transition Dashboard Feedback", and "Excellence in Action". A help icon (question mark) is visible at the bottom right of the dashboard area.

Technology Solutions Consulting



Eastern Region

Mark Matheny – Manager
mark.matheny@osaic.com

Aida Dillman
aida.dillman@osaic.com



Western Region

Eric Baumgardner
eric.baumgardner@osaic.com



Schedule time with your
Technology Solutions
Consultant

