

AI INTEGRATION PROTOCOL FOR INVESTMENT PROFESSIONALS



*10 Risks to Avoid + The Protocol to Use AI
Safely and Strategically*

AI Integration Protocol for Investment Professionals

10 Risks to Avoid + The Protocol to Use AI
Safely and Strategically

	Pitfall	What it is	What it Matters	What to do Instead
	Blind Trust	Believing AI outputs are "correct" just because they sound polished.	AI is trained to sound confident, not to be accurate.	Always read AI output critically. Ask it to show its reasoning, and cross-check anything important.
	Bias In = Bias Out	AI reflects the patterns and biases in its training data	AI is trained to sound confident, not to be accurate.	Ask for multiple angles: "Give me a counterpoint..." or "List what might be missing."
	Giving Advice By Accident	Asking AI to suggest what a client should do.	AI doesn't know your client—and you're the one legally accountable.	Ask AI to summarize pros/cons or general options. Then apply your own judgment.
	Copy/Pasting to Clients	Sending AI-generated summaries or explanations without editing.	AI may get tone or terminology wrong—and your name is on it.	Use AI as a draft tool. Always review, personalize, and ensure it fits your voice
	Asking What You Can't Evaluate	Using AI to answer something you don't fully understand yourself.	You can't assess the quality of an answer if you don't know the topic.	Use AI to surface better questions, not to fill knowledge gaps you can't validate.
	Wrong Jurisdiction	Accepting U.S.-focused language or advice.	AI defaults to American references unless told otherwise.	Add "Use Canadian terminology (CIRO, AMF, CSA)" to any regulatory prompt.
	Risking Client Privacy	Using real client details, even in vague form.	Even "lightly anonymized" info may be stored or revealed.	Use AI to support your existing process—not replace it.
	Skipping Process	Using AI to shortcut meeting prep or review steps.	Shortcuts can break compliance and reduce client confidence.	Always read AI output critically. Ask it to show its reasoning, and cross-check anything important.
	No Audit Trail	Not saving the prompt and result anywhere.	If challenged, you won't be able to explain how something was created.	Save outputs like you would a note: date, purpose, and what tool you used.
	Trying AI platforms that your firm hasn't reviewed or approved.	Believing AI outputs are "correct" just because they sound polished.	Unvetted platforms may store, reuse, or leak your data.	Use platforms approved by your firm—or confirm exploratory use is permitted.

Pre-Post AI Use Checklist

Use this checklist every time you prompt AI in your professional work.

BEFORE YOU USE AI (Pre-Prompt)

Step	Ask Yourself	Tip
1	Do I need any client-specific info?	If yes—don't. Use neutral stand-ins instead.
2	Is this tool approved by my firm?	Ask your tech/compliance contact. Or label it "exploratory use."
3	What do I want the AI to do?	Be clear: "Summarize," "Draft," "Rephrase," etc.
4	Have I set limits?	Say things like: "Don't make product recommendations."
5	Does this need Canadian framing?	Add: "Use CISO/AMF language, not U.S. references."
6	Is memory off / history cleared?	If using ChatGPT, turn memory off unless approved.
7	Can I judge the answer myself?	If not—pause. Ask a colleague or reframe your request.

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Step	Review for	Tip
1	Tone + Voice	Spot-check data, numbers, or regulatory references.
2	Accuracy	Spot-check data, numbers, or regulatory references.
3	Compliance	Is anything implying advice or outcomes? If yes—rephrase.
4	Canadian Fit	Remove any American terms or fund references.
5	Final Touch	Label output: "Draft – Subject to Review."
6	Save It	Store with a timestamp and purpose (e.g., "client note draft").

Remember

AI is a thinking partner—not a shortcut. You're not just prompting a machine. You're shaping a message, a moment, and a standard.

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1	Tone + Voice	If yes—don't. Use neutral stand-ins instead.
2	Accuracy	Ask your tech/compliance contact. Or label it "exploratory use."
3	Compliance	Be clear: "Summarize," "Draft," "Rephrase," etc.
4	Canadian Fit	Say things like: "Don't make product recommendations."
5	Final Touch	Add: "Use CRO/AMF language, not U.S. references."
6	Save It	If using ChatGPT, turn memory off unless approved.

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