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Artificial Intelligence: SEC Broker and Investment Advisor Concerns



This new [Client Update](#) deals with the SEC's concerns over the use of AI in the broker-dealer and investment advisor conflicts context, something that is not within the scope of practice for many of us. But it's a topic that bears watching as the importance of AI in everything we do grows. Here's the intro from the Client Update:

"The SEC indicated this summer that it plans to introduce proposals to regulate conflicts of interest associated with artificial intelligence (AI) later this year as part of its semiannual rule-writing agenda. The SEC is considering proposed rules related to the following:

- Broker-dealer conflicts in the use of predictive data analytics, AI, machine learning, and similar technologies in connection with certain investor interactions.
- Investment adviser conflicts in the use of predictive data analytics, AI, machine learning, and similar technologies in connection with certain investor interactions."

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