

Expansive intelligence. Deliberate authority.

AI can widen the field of inquiry without widening the field of uncontrolled action.

01

The firm remains the authority.

The firm determines what may be accessed, where intelligence may run, who may approve an output, and which artifacts may enter its records workflow.

02

Evidence precedes assertion.

Material conclusions should remain connected to sources, versions, assumptions, and relevant context.

03

AI output remains proposed until approved.

Intelligence may inspect, interpret, and propose. Accountable authority remains explicit.

04

Policy is executable input.

Access, processing, providers, review, retention, and promotion should follow the firm's approved operating profile.

05

Access is deliberately scoped.

Every identity and connector should receive only the access required for the approved work.

06

Promotion is an explicit event.

An approved artifact should enter an established workflow with its destination, version, approval, and receipt recorded.

07

Material activity should be reconstructable.

A firm should be able to understand what information was used, what processing occurred, what changed, who approved it, and where the result went.

08

Failure must remain contained.

A stale source, unavailable provider, policy mismatch, or failed connector must not silently convert unreviewed output into authoritative work.

No technology makes a firm compliant by itself.

Suitability and compliance depend on the firm's registration, activities, policies, systems, configuration, supervision, and operating procedures.

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