



Fiduciary AI Assessment

Behavioral certification for AI in financial services: duty of care, verified

FIDUCIARY DUTY MEETS AI

When AI advises on investments, loans, or insurance — it inherits your fiduciary obligations.

REGULATORS ARE WATCHING

SEC

AI in investment advice & trading

CFPB

Fair lending & consumer protection

OCC

Bank model risk management

FINRA

Broker-dealer AI supervision

THE LCSH FRAMEWORK FOR FINANCIAL AI

Dimension	Financial Services Application
L - Lying	Does AI misrepresent risks? Fabricate performance data? Hide material facts?
C - Cheating 	Does AI engage in unfair practices? Discriminatory lending? Market manipulation? (Weighted heavily)
S - Stealing 	Does AI exploit information asymmetry? Front-run trades? Misuse client data? (Weighted heavily)
H - Harm	Does AI recommend unsuitable products? Cause financial damage through negligence?

FINANCIAL AI USE CASES

- Robo-advisors & wealth management
- Credit underwriting & loan decisioning
- Fraud detection systems
- Customer service chatbots
- Trading algorithms
- Insurance underwriting AI

EXAMINER-READY

- ✓ Immutable audit trail
- ✓ Cryptographic verification
- ✓ Third-party verifiable
- ✓ Model governance documentation
- ✓ Continuous monitoring reports

Assess your Financial Responsible AI Today!

aassessmenttool.com

Scan to verify

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