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## AI Compliance Considerations – Meeting SEC and FINRA Obligations in an Ever-Evolving Regulatory Landscape

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The securities industry is rapidly adopting artificial intelligence (“AI”) and algorithmic technologies for a wide range of functions. While regulatory attention to date has primarily focused on AI washing and entity disclosure obligations, regulators have also issued guidance on testing and supervision requirements for applications and business processes incorporating AI.

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### Attorneys

- Frank J. Weigand
- Morrease Leftwich