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I. General Vendor and Technology Overview

- **Vendor Name and Corporate Address:**

Collation.AI

263 Tresser Blvd Floor 9,

Stamford, CT 06901

United States +1 (475) 264 5891

- **Description of AI Functionality Offered:**

Collation.AI is a powerful WealthTech platform specializing in aggregating financial data from a client's existing technology stack using bots. The data is centralized in a secure data warehouse and processed through AI-driven workflows for reconciliation, enrichment, and validation. AI capabilities include summarization, natural language querying, and workflow automation.

- **Nature of AI Service:**

Embedded in Existing Tools

Standalone Product

- **Primary Use of AI:**

Internal Tools

Client-Facing Purposes

Investment Support

- **List of AI-Related Features:**

Summarization

Automation

Natural Language Interaction

Data Validation

AI-driven Reconciliation

II. SEC Compliance Considerations

- **Does the AI perform predictive data analytics (PDA)?**
 Yes No
(AI is used for data operations, workflow automation, and reporting—NOT FOR INVESTMENT RECOMMENDATIONS.)
 - **Have conflicts of interest been identified and mitigated?**
 N/A
 - **Is there documentation on PDA testing, management, and monitoring?**
 N/A
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III. Privacy, Security, and Data Use

- **Vendor-provided documentation includes:**
 - Encryption Protocols
 - Secure Data Storage & Handling
 - Regular Security Audits(Collation.AI is built on Azure infrastructure and leverages enterprise-grade security measures. Collation.AI is SOC-II compliant)
- **Access to Sensitive Client Information:**
 Yes
(Access is governed by strict role-based access control and least-privilege principles.)
- **Contractual Safeguards Against Data Resale or Misuse:**
 Yes
(Data ownership remains with the client. No resale or unauthorized usage is permitted.)
- **Public AI Model Data Sharing Protections:**
 Yes
(Collation.AI uses **Azure OpenAI**, which ensures data is not shared with public models like OpenAI.com.)
- **Prohibits Use of AI for Sharing/Handling MNPI:**
 Yes
(All AI workflows are restricted from accessing or storing MNPI unless approved and isolated.)

IV. AI Output Accuracy and Oversight

- **Defined Review Process for AI Output Accuracy:**
 - Yes
 - (AI outputs are reviewed manually or via audit layers embedded in workflows.)
- **Responsible Parties for Oversight:**
 - Data Engineering & Product Teams under Compliance Supervision
- **Human Override/Correction Capability Present:**
 - Yes
- **Process for Handling Errors/Omissions in AI Output:**
 - Logged, flagged, and corrected via audit pipelines. Clients are notified if material.

V. Prohibited Use Case Controls

- Confirm the vendor's product **does not** enable the following unless explicitly approved:
 - Automated Investment Advice
 - Execution of Trades or Transfers
 - Drafting Legal/Regulatory Documents via AI
 - Use of Unapproved AI Assistants

VI. Transparency & Marketing Claims

- **AI Capabilities Promoted in Marketing Materials:**
 - Yes
- **Claims are Factually Supportable:**
 - Yes
 - (AI features are transparently explained in context of automation, reconciliation, and reporting.)

- **AI Usage Documentation Available:**
 Yes
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VII. Recordkeeping & Documentation

- **Retention of AI Outputs and Corrections (5-Year Minimum):**
 Yes
(Logs of bot and AI output are retained in secure storage and available for compliance audits.)
 - **Assistance with Archiving Transcripts, Recordings, Summaries:**
 Yes
(Summaries and data outputs are stored in structured formats.)
 - **Client Notification Procedure for AI Inaccuracies:**
 Yes
(Client workflows include escalation protocols in case of incorrect AI output.)
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VIII. Disclosure Obligations

- **Use of AI Disclosed in Form ADV Part 2A (if applicable):**
 N/A (Collation.AI is a technology vendor, not an investment advisor.)
 - **Client Notification Prior to Call Recordings via AI:**
 N/A (Call transcription not part of the current AI offering.)
 - **Records of Oral Consent Maintained:**
 N/A
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IX. Internal Review & Approval

- **Reviewed and Approved By:**
 - Chief Technology Officer (CTO)
 - Designee: Prashant Surana
- **Added to Approved AI Vendor List:**
 - Yes
- **Date of Review and Approval:**
13-June-2025