

# AI Vendor Due Diligence Checklist

## A Due Diligence Framework for National Accounts and Distribution Leaders Evaluating AI-Powered Content Distribution and Engagement Tools

AI is showing up in more platforms you rely on to get content into the field. Before your firm adopts another AI-powered solution, make sure it's built to simplify your operational complexity – not increase it.

### 1. Content Approval & Cycle Time

- Can the vendor demonstrate measurable reduction in approval cycle times in real production environments – not just demos?
- Does AI reduce rework and resubmission cycles, or introduce new review steps that slow things down?

### 2. Centralized Content Management

- Does the platform provide a single source of truth for what's approved, in review, expired, and retired – across all partner firms and channels?
- Does the system automatically flag or remove outdated materials – or does that fall on your team?

### 3. Distribution Reach & Partner Access

- Does the platform support a "submit once, distribute everywhere" model – with permissions, eligibility, and jurisdictional alignment built in?
- Can you scale distribution to more partners without adding headcount or manual workarounds?

### 4. Field Intelligence & Usage Insights

- Does the platform close the loop between what gets approved and what actually gets used – with data on which content drives advisor adoption?
- Does field usage data flow back upstream to inform content strategy and distribution priorities?

### 5. Operational Risk & Compliance Confidence

- Does the platform ensure only approved content reaches the field – and catch it when approval has lapsed?
- Are AI outputs auditable, explainable, and books-and-records compliant – or does your team bear the validation burden?

### 6. Data Privacy & Regulatory Defensibility

- Is your firm's data fully segregated from model training – and can the vendor articulate exactly what data informs AI outputs?
- Could you defend this vendor's data handling to a regulator during an examination?

**The Bottom Line:** AI should make it faster and easier to get the right content to the right people – without creating new compliance exposure or operational overhead. If a vendor can't demonstrate both sides of that equation, they haven't earned your trust yet.

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