

AI Acceptable Use Policy

POLICY DOCUMENT

Meridian Advisory Partners (fictional) · Sample Deliverable — Prado AI Solutions

July 2026

Policy Owner:	Chief Operating Officer
Effective Date:	August 1, 2026
Review Cycle:	Annual (or upon significant AI tool changes)
Version:	1.0
Status:	SAMPLE — Fictional data only

1. Purpose

This policy establishes the rules governing the use of artificial intelligence (AI) tools by all employees, contractors, and third parties acting on behalf of Meridian Advisory Partners. It is designed to protect client data, ensure the quality and accuracy of AI-assisted work, and maintain compliance with applicable laws and professional standards.

2. Scope

This policy applies to all AI tools used for any business purpose, including but not limited to: large language models (e.g., ChatGPT, Claude, Gemini, Copilot), AI writing assistants, AI-powered research tools, automated summarization tools, and any tool that uses machine learning to generate, analyze, or transform content.

3. Approved Tools

Only tools on the firm's current Approved AI Tools List may be used for business purposes. The list is maintained by the IT department and reviewed quarterly.

To request approval for a new tool:

- Submit a request via the AI Tool Request form on the intranet.
- IT and Compliance will evaluate the tool within 10 business days.
- Do not use a tool for business purposes while it is under review.

4. Permitted Uses

Approved AI tools may be used for the following purposes, subject to the data handling rules in Section 5:

- Drafting internal communications, meeting summaries, and non-client documents.

- Research, summarization, and analysis using publicly available or anonymized information.
- Code assistance, template generation, and process documentation.
- Client-facing work, subject to the human-review requirement in Section 6.

5. Data Handling Rules

The following rules apply to all AI tool use:

PROHIBITED — Never enter into any AI tool:

- Client names, account numbers, Social Security Numbers, Tax IDs, or other PII.
- Non-public financial data, including client portfolio details, income, or net worth.
- Regulated information subject to confidentiality obligations (e.g., HIPAA, GLBA, attorney-client privilege).
- Firm proprietary information not intended for external disclosure.

PERMITTED with enterprise-tier tools only (tools with a signed DPA):

- Anonymized or aggregated client data where individual clients cannot be identified.
- Internal business data classified as Internal Use (see Data Classification Policy).

6. Human Review Requirement

All AI-assisted outputs used in client-facing work must be reviewed and approved by a qualified employee before delivery. Review means actively evaluating the content for accuracy, completeness, and appropriateness — not simply reading and forwarding.

The following output types require documented human review:

- Client reports, analyses, and recommendations.
- Regulatory filings or submissions that include AI-assisted content.
- External communications that represent the firm's professional judgment.

7. Disclosure

Employees must disclose AI involvement in client work when: (a) required by applicable law or regulation; (b) the client has requested disclosure; or (c) the AI tool's contribution is material to the work product and the client would reasonably expect to know.

8. Incident Reporting

Any suspected or confirmed unauthorized disclosure of client or regulated data through an AI tool must be reported to the Compliance department within 24 hours of discovery. Use the AI Incident Report form on the intranet. Do not attempt to remediate the incident independently before reporting.

9. Violations

Violations of this policy may result in disciplinary action up to and including termination, and may be reported to applicable regulators where required by law. Employees who are uncertain whether a specific use is permitted should contact Compliance before proceeding.

10. Acknowledgment

All employees and contractors are required to sign an acknowledgment confirming they have read, understood, and agree to comply with this policy. Acknowledgments are collected at onboarding and upon each policy revision.

This policy is a sample deliverable prepared by Prado AI Solutions. "Meridian Advisory Partners" and all data above are fictional and for illustration only. This document does not constitute legal, regulatory, or cybersecurity advice.