FREE RESOURCE

AI Governance Starter Kit

Know your tools, your rules, and your data.

A two-page fill-in guide for financial advisors, planners, and insurance professionals. It covers the first things to look at, whether you work alone, inside a firm, or lead a team.

AI is already in your office, whether you planned it or not. Someone is drafting emails in ChatGPT, summarizing notes in Copilot, or asking Claude about a client case. Governance just means deciding, on purpose, which tools you use, how they are set up, how your business sounds, and where your clients' information lives. Start simple. You can build on it later.

01 Where do you fit? Your role changes what you are responsible for.

Solo founder
You are the whole policy. Pick your tools, set them up properly, and write down your rules so you follow them on busy days too.

Advisor at a firm
Your dealer, MGA, or firm may already have an AI policy. Find it first. Use only approved tools and keep personal accounts away from client work.

Advisor leading a team
You own the rules for everyone under you. Decide the approved tools, who reviews AI work, and what happens when someone joins or leaves.

I am a: ☐ Solo founder ☐ Advisor at a firm ☐ Advisor leading a team Firm AI policy exists? ☐ Yes ☐ No / not sure

02 What AI tools are in use? List every tool, including free ones and browser add-ons.

Tool	Who uses it	Plan (personal or business)	Training off	2-step login on	Client info allowed?
			☐	☐	
			☐	☐	
			☐	☐	
			☐	☐	
			☐	☐	

03 Check your security settings The obvious ones first. Menu names change, so check each tool's help page.

Claude
Settings > Privacy > turn off **Help improve Claude** on Free, Pro, and Max plans.

ChatGPT
Settings > Data controls > turn off **Improve the model for everyone**.

Gemini
Activity settings > turn off **Keep Activity** (also called Gemini Apps Activity).

Microsoft Copilot
Profile > Privacy > turn off model training for conversations and voice.

- ☐ Client work happens on business plans (e.g., Claude Team, ChatGPT Business), not personal accounts
- ☐ Two-step login is turned on for every AI and email account
- ☐ Personal and business accounts are kept separate
- ☐ Connected apps (email, Drive, calendar) are reviewed and only what is needed is on
- ☐ Temporary or incognito chats are used for anything sensitive
- ☐ Someone is named to check these settings every quarter:

04 Give your business a persona

Advisors have a voice. So should the business.

Your office persona is how the firm sounds in every email, post, and AI draft, no matter who on the team writes it. Pair it with a short set of house rules so everyone, and every AI tool, follows the same playbook.

Our business sounds like: _____

We always: _____

We never: _____

AI drafts are approved by: _____

- ☐ No client names or personal details go into personal AI accounts
- ☐ A person reads every AI draft before it reaches a client or the public
- ☐ Each advisor's persona follows the business persona and house rules
- ☐ Compliance and licensing rules are written into the persona itself

05 What are we doing with our data?

Client information is the most valuable thing you hold.

In Canada, client personal information is covered by privacy law (PIPEDA, plus your regulator's and firm's rules). Know where it lives, who can reach it, and what any AI tool can see.

Client files are stored in: _____

Stored in: ☐ Cloud ☐ Local ☐ Both ☐ Not sure

Backed up to / how often: _____

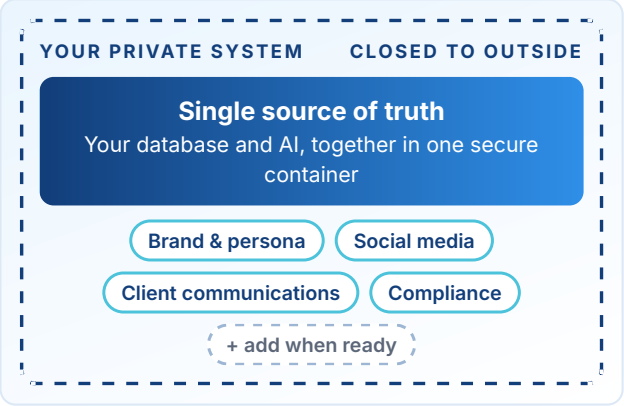
AI tools that can see client data: _____

Who has access: _____

When someone leaves, we: _____

06 Build it simple: one source of truth

The approach BotLogix recommends.



Most offices end up with information scattered across inboxes, drives, and a handful of AI chats. A better starting point is one central place for your business knowledge: your persona, your rules, your processes, and your approved content.

We set this up as a self-contained system (for example, a database running in a Docker container) that only you control and that is closed off from the outside world. The AI works inside it, so your information stays in.

Because everything draws from the same source, you can add modules over time, such as brand, social media, communications, and compliance, without starting over.

Your first six moves

- ☐ Fill in the tool list on page 1
- ☐ Turn off model training on every personal AI account
- ☐ Move client work to a business plan
- ☐ Write your business persona and five house rules
- ☐ Map where your client data lives and who can see it
- ☐ Book a review date: _____

Please note: This is a high-level starting point, not a complete or comprehensive list, and it is not legal, privacy, or compliance advice. Settings and menu names change often. Advisors remain responsible for the rules of every province where they are licensed, Canadian privacy law, and their dealer's, MGA's, or firm's policies.