CASE STUDY 02 / PROFESSIONAL ENGAGEMENT / TRAINING PILOT

Helping Investment Advisors Use AI With Confidence and Care

Regulated financial services

THE BUSINESS CHALLENGE

Brokers were experimenting with AI before the organization had established a mature strategy or usage guardrails, creating risks involving confidential information, client communications and compliance.

THE WORK PERFORMED

01 Role and workflow assessment. Studied the day-to-day work of brokers and identified where AI could support research, client preparation, reporting and administration.

02 Risk and compliance review. Researched self-regulatory obligations, confidentiality risks, unapproved tools and AI-generated meeting records.

03 Learning strategy and design. Structured a practical orientation spanning beginner, intermediate and advanced uses of large language models.

04 Content and materials development. Created pre-session communications, preparation material, exercises, demonstrations and participant resources.

05 Tool and use-case demonstrations. Showed ChatGPT and Gemini workflows for research, reports, presentations, templates, images and task support.

06 Delivery and guardrails. Delivered the pilot and explained what advisors could and could not safely do while formal firm policies were still developing.

THE RESULT

Participants gained practical orientation to AI fundamentals, permitted and risky uses, research, document production and everyday productivity workflows. Training attendance and post-program adoption rates have not been provided.

150
brokers in the organization*

WHAT THIS EXPERIENCE PROVES

Demonstrates how to translate fast-moving AI into role-specific workforce capability while making regulatory and confidentiality boundaries explicit.

BEFORE / TRANSFORMATION / AFTER

BEFORE	TRANSFORMATION	AFTER
Brokers faced fast-moving AI tools without a shared understanding of appropriate use.	Designed and delivered a practical, risk-aware orientation across beginner, intermediate and advanced use cases.	Participants understood AI fundamentals, common risks and practical uses relevant to their daily work.

SELECTED CAPABILITIES

AI learning design | Financial-services compliance | Governance awareness | Use-case research | Prompt engineering | Workshop facilitation | Change enablement

Experience: Tracey DeLeeuw | * Historical or engagement figures are based on the founder interview and should be verified before external publication.

Could your organization benefit from similar work? team@greenteaming.ca | LinkedIn: Green Teaming