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AI + FINANCIAL MARKETING

A practical guide to the new era of content development and the compliance considerations



Recast Financial

AI + Financial Marketing

A practical guide to navigating the new era of content development and the compliance considerations

Summary: AI is reshaping the financial services industry, including how investor education and marketing content are created, reviewed, and distributed. From AI-assisted editing to compliance pre-checks, it now touches nearly every stage of the content creation process. Firms are increasingly using these tools to draft blog posts, white papers, videos, and client communications at much lower costs than previous production pipelines and with increasing speed and scale.

This white paper explores ways to integrate AI responsibly within existing regulatory frameworks. It provides an overview of the risks, limitations, and supervisory obligations firms typically consider when using AI in content workflows. We'll also explore how smaller and mid-sized RIAs and specialty broker-dealers can safely incorporate emerging AI tools to compete with larger firms, accelerate production, reduce compliance bottlenecks, and strengthen their investor education efforts.

Drawing on more than 20 years of experience producing compliant content for leading firms like TD Ameritrade, Charles Schwab, Robinhood, Fisher Investments, and Mercer Advisors, Fred Ruffy outlines a practical, compliance-first approach to adopting AI. It relied heavily on Compliance Companion GPT, which is a free custom GPT with a knowledge base of FINRA and SEC rules regarding communications with the public (CWTP).

If you or your firm are exploring how to use AI not just for content creation, but to build educational materials that generate qualified leads, I encourage you to watch the accompanying video: *Educational Content as a Lead-Gen Engine*. It expands on the principles in this paper and demonstrates how AI-supported workflows can help firms scale modern investor education efficiently and compliantly.

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Rules, Regulations, and AI Content

The young man knows the rules, but the old man knows the exceptions. ~ Oliver Wendell Holmes

While AI-generated content needs to follow the same communication standards as any other material distributed to investors, regulators are increasingly paying attention to the ways AI is changing how content is created, reviewed, and updated.

Both the SEC and FINRA have made it clear that they're not opposed to firms using AI. In fact, both regulators use AI themselves. For example, FINRA relies on the technology for market surveillance, and the SEC for fraud detection and enforcement analytics.

The SEC's announcement of an AI Task Force in August 2025 underscored this point further.¹ The initiative is intended to accelerate responsible AI adoption across the agency by centralizing expertise, removing internal barriers, and identifying the highest-impact use cases. Regulators understand that AI is now part of the financial ecosystem, and they want firms to use it safely, transparently, and consistently.

Where FINRA and the SEC focus their attention isn't on the tools themselves, but on the risks that arise when AI is used irresponsibly and without proper oversight. Most of the rules center around traditional obligations (**accuracy, fairness, disclosure, recordkeeping**), but AI introduces new ways these obligations can be breached.

In other words, **AI doesn't change the rules, but it changes how easily the rules can be broken unintentionally.** Firms that adopt AI without a structured workflow increase the likelihood of missing disclosures, losing draft history, or publishing content that inadvertently crosses regulatory lines.

Many firms also recognize that the use of AI platforms introduces real cybersecurity and data-governance risks, which in turn limit what tools their employees and contractors are allowed to access. These concerns aren't theoretical. The SEC's Cybersecurity Risk Management Framework (2023) specifically emphasized vendor oversight, data-handling governance, and the need for firms to understand how **third-party systems** store, transmit, and retain information.² This includes AI models.

When AI tools lack transparency about data custody or operate in open environments, firms must restrict access to avoid violating these obligations. **(More on these limitations later in the paper.)**

SEC-driven requirements

Here's we dive into specific rules and regulations, which you might want to skim over (unless you're preparing for a FINRA Series 7 exam). A number of related SEC rules govern communications and recordkeeping for both broker-dealers and investment advisers. Broker-dealers are subject to the

Exchange Act Rule 17a-4 (books and records) and Rule 10b-5 (anti-fraud), while RIAs are governed by Advisers Act Rule 204-2 (books and records) and the Marketing Rule, Rule 206(4)-1.

- **Recordkeeping** (shared enforcement): SEC Rule 17a-4 requires firms to maintain books and records, **including AI-generated drafts, prompts, and communications**, for at least three years (**first two easily accessible**).³
- **Recordkeeping (RIAs)**: Advisers Act Rule 204-2 requires SEC-registered investment advisers to retain advertisements, client communications, performance data, substantiation files, and related materials— **including AI-generated content, prompts, scripts, and drafts**— for five years, with the **first two years easily accessible**.⁴
- **Data accuracy and source validation**: Applies to the sale of securities, SEC Rule 10b-5 prohibits false or misleading statements or omissions of material facts in any securities communication, including AI-generated content.⁵
- **Disclosure obligations**: SEC Marketing Rule 206(4)-1 requires clear, **accurate disclosures** in investment adviser advertising and prohibits unsubstantiated performance claims or testimonials.⁶

FINRA-driven requirements

A set of requirements comes directly from FINRA rules for broker-dealers, particularly Rule 2210 (CWTP), Rule 3110 (Supervision), and Rule 4511 (Books and Records):

- **Same standards apply**: FINRA Rule 2210 establishes that *all* communications, regardless of format or medium (including AI-assisted), must be **fair, balanced, and not misleading**.⁷
- **Principal review required**: FINRA Rule 2210(b)(1) requires *qualified principal approval before first use* of any **retail communication**, which is any written (including digital or video) communication distributed or made available to more than 25 retail investors within any 30-calendar-day period.
- **Fair and balanced content**: FINRA Rule 2210(d)(1) mandates balanced presentation of **risks and benefits** and prohibits misleading or promissory language.
- **Supervision and WSPs**: FINRA Rule 3110 requires firms to maintain **Written Supervisory Procedures** (WSPs) governing the creation, approval, and distribution of all communications (including AI-generated).⁸
- **Recordkeeping**: FINRA Rule 4511 requires **preservation of all communications and records** consistent with SEC Rule 17a-4 retention standards.⁹
- **No promissory language**: FINRA Rule 2210(d)(1)(F) explicitly **prohibits predictions, guarantees, or exaggerated claims** in any public communication.
- **Ongoing monitoring**: FINRA Rule 3120 requires firms to **evaluate and verify supervisory procedures annually**; this includes emerging tools like AI used in communication review or generation.¹⁰

Joint or overlapping areas (FINRA + SEC)

Both regulators expect oversight in these cross-jurisdictional areas:

- **Same standards apply** (*also applies to SEC registrants using AI in adviser marketing*).
- **Recordkeeping** (*shared under FINRA 4511 + SEC 17a-4*).
- **Fair and balanced content** (*FINRA 2210 + SEC 10b-5 anti-fraud standard*).
- **Disclosure obligations** (*FINRA 2210(d) + SEC 206(4)-1*).
- **Data accuracy and source validation** (*required by both for factual representations*)

Dually-registered case study

If a dually registered firm (RIA and broker-dealer) uses AI-generated material, SEC oversight under Rule 206(4)-1 and Rule 204-2 (recordkeeping) applies in parallel to FINRA's rules. Broker-dealers remain subject to principal approval and filing requirements under Rule 2210(c) where applicable.

Let's consider a hypothetical scenario.

A dually registered firm uses an AI content creation platform like Hedra or Heygen to produce a two-minute educational video titled: *Planning for Retirement with a Roth IRA: Why Tax-Free Growth Can Change Your Future*.

The firm's marketing team writes the script and hires a photographer to take an image of an advisor behind a desk in an upscale office setting. The image, the script, and a voice from Elevenlabs are used within the AI generator (like Hedra) to create the clips and audio, which are then assembled in Premiere Pro to make an MP4.

Sample script excerpt

"Hi, I'm Alex Morgan, a financial advisor here at XYZ Advisors. A Roth IRA allows your investments to grow tax-free. And unlike traditional IRAs, you won't pay taxes when you withdraw in retirement. Our clients have found that Roth IRAs can be one of the most powerful ways to secure tax-free income for life.

Ready to learn how a Roth IRA could fit into your retirement strategy? Let's build your tax-free future together."

The video is then posted on the firm's website and YouTube channel and the link is shared via email with clients and prospects.

Unfortunately, this example highlights several regulatory and reputational **risk concerns**. Beyond the typical compliance requirements of balanced presentation, disclosure accuracy, and recordkeeping, the use of AI itself introduces new layers of scrutiny.

One of the most important considerations is the issue of misleading presentation. An AI-generated avatar may appear indistinguishable from a real advisor, potentially giving **the impression of personal**

endorsement or professional licensure that doesn't exist. Under FINRA Rule 2210(d)(1)(B) and SEC Rule 206(4)-1(a)(1), firms must ensure that viewers are not misled about the identity or qualifications of anyone depicted in marketing content.

In other words, the video lacks AI transparency. Without a disclosure that the presenter is artificially generated, clients may assume that “Alex Morgan” is a real advisor. This creates a potential customer deception issue under the fair and balanced communication standard of FINRA 2210(d)(1)(B).

Unrelated to the use of AI, the script contains promissory language, with phrases like “tax-free income for life” imply guaranteed outcomes and omit key conditions. And it **fails to disclose material facts**, such as Roth IRA income limits, contribution caps, and the five-year seasoning rule. Here is a revised version with suggested disclosures:

Compliant script example

“Hi, I’m Alex Morgan, a digital spokesperson for XYZ Advisors. Let’s explore how a Roth IRA could help you plan for retirement. With a Roth IRA, your contributions are made with after-tax dollars, and qualified withdrawals in retirement are generally tax-free. However, Roth IRAs have income limits and withdrawal conditions that you’ll want to understand before investing.

To learn whether a Roth IRA fits your financial plan, speak with one of our licensed advisors today.”

On-screen disclosures

- “This presentation features an AI-generated avatar.”
- “This material is for informational purposes only and is not individualized tax or investment advice.”
- “Qualified distributions are tax-free only if IRS conditions are met (age 59½ and 5-year rule). Consult a tax advisor.”

Bottom line

AI-generated videos can meet regulatory standards when firms apply the same rigor to AI workflows that they apply to traditional content production. Transparency must come first: viewers should know when an avatar or voice has been digitally created, and all messaging must **remain balanced, factual, and educational in tone**. Principal pre-approval under FINRA Rule 2210 and supervisory oversight under SEC Rule 206(4)-7 remain mandatory, even when the creative process is automated.

From a compliance standpoint, the biggest risks lie not in the technology itself but in how it’s governed. Recordkeeping failures can occur if drafts, **prompts**, and generated versions aren’t archived under FINRA Rule 4511, SEC Rule 204-2, or Rule 17a-4. Supervisory gaps arise when AI-assisted content bypasses principal review or dual RIA/broker-dealer sign-off, and operational inconsistency emerges when multiple

team members experiment with unvetted AI tools without written supervisory procedures or vendor due diligence.

Risk Type	Description	Regulatory Ref
Misleading Presentation	AI-generated avatar may be perceived as a real advisor, creating potential for misrepresentation of identity.	FINRA Rule 2210(d)(1)(B); SEC Rule 206(4)-1(a)(1)
Promissory Language	“Tax-free income for life” implies certainty of outcome and omits eligibility and withdrawal conditions.	FINRA Rule 2210(d)(1)(A); SEC Rule 206(4)-1(a)(2)
Omission of Material Facts	The script omits Roth IRA contribution limits, income restrictions, and 5-year seasoning rules.	SEC Rule 10b-5 (Anti-Fraud)
AI Transparency	No disclosure that the “advisor” is an AI-generated avatar, creating potential for customer deception.	FINRA 2210(d)(1)(B) – Fair and balanced; anti-deception standard
Recordkeeping	Prompts, drafts, and final video must be archived for audit.	FINRA 4511; SEC Rule 204-2; SEC Rule 17a-4
Supervisory Oversight	Principal approval and dual-review required before posting.	FINRA 3110; SEC 206(4)-7 (RIA Compliance Program Rule)

Table 1 – Risks and rules

When transparent disclosure of AI use, balanced educational framing, principal and RIA compliance review, and disciplined record retention are in place, AI becomes not a compliance threat but a creative accelerator. Used responsibly, it allows firms to scale investor education, strengthen brand credibility, and deliver compliant, modern communications that align innovation with oversight. The key is knowing the rules and staying informed about rule revisions.

Why Add AI to a Content Pipeline: Risks and Benefits

We stand today on the edge of a new frontier—the frontier of the 1960s, the frontier of unknown opportunities and perils, the frontier of unfulfilled hopes and threats. ~ John F. Kennedy

Every major technological shift brings both promise and uncertainty. Just as Kennedy spoke of the uncharted possibilities of a new decade in the 1960s, we now find ourselves at the edge of the AI frontier. It's helping firms become more productive in many ways, from enhanced customer service and fraud detection to portfolio optimization and anti-money laundering surveillance.

For content creators and marketers, the potential impact is also tangible. AI is rapidly transforming the way financial education is conceived, produced, and distributed. It allows firms to move from reactive, one-off campaigns to ongoing, scalable content ecosystems that build trust and generate qualified leads. Here are some pros and cons to consider with this approach.

The risks of AI-enhanced content pipelines

In 1950, Alan Turing, often called the father of artificial intelligence, published *Computing Machinery and Intelligence*, and introduced what became known as the Turing Test, which is a way to evaluate whether a machine could exhibit intelligent behavior indistinguishable from that of a human.

In some creative fields today (writing, imagery, video, and even music), the Turing Test has arguably been passed. Machines can produce outputs that feel convincingly human. But that ability carries a new form of responsibility, especially in a regulated industry built on credibility and trust.

In addition, not all investors or clients want to be served AI-generated content; there's a growing backlash against "AI slop" or the type of content that feels synthetic, impersonal, or mass-produced. The result can be a tarnished reputation that undermines the very trust that educational material is meant to build. Even worse, some AI tools have been found to have violated copyrights and produce inaccurate data and information.

While articles or blog posts may appear authentic, readers can sense when content lacks depth or human insight. This problem becomes magnified in audio, video, and long-form materials, where tone, pacing, and visual realism reveal the machine's hand.

What I've just described here is the **reputational risk** associated with over-reliance on artificial intelligence in content creation. We've already discussed some strategies to overcome the risk, including transparency and disclosures. Later we'll discuss using a hybrid approach that leverages AI as an enhancement rather than a standalone tool. For now, reputational risk is just one to consider when creating a content pipeline that incorporates AI. Here are some others:

- **Compliance considerations:** While speedy, AI-generated content can create regulatory exposure if claims are misleading, performance is overstated, or disclosures are omitted.

- **Data security:** Uploading proprietary, client, or financial information into public AI systems may violate privacy rules and create **cybersecurity vulnerabilities**.
- **Model bias and reliability:** Generative AI outputs are only as accurate as their training data; unverified statements, errors, or “hallucinations” can undermine credibility and investor trust.
- **Recordkeeping gaps:** FINRA and the SEC require firms to archive communications. AI-generated drafts and revisions must also be captured and retained under these same rules.
- **Operational fragmentation:** When different team members use different AI tools, content quality and compliance oversight can quickly become inconsistent.

The benefits of AI-enhanced content pipelines

Most of the firms that I talk to and have worked with are using ChatGPT to help with outlining, editing, and even rewriting the work of their employees or contractors. Many of the tasks I was once hired to do—like create written content based on subject matter expertise—are being accomplished by artificial intelligence instead.

Repurposing original and proprietary content is another common use case for AI tools like ChatGPT. A well-written executive summary, for example, can serve as a foundation for web content, white papers, video scripts, and other derivatives.

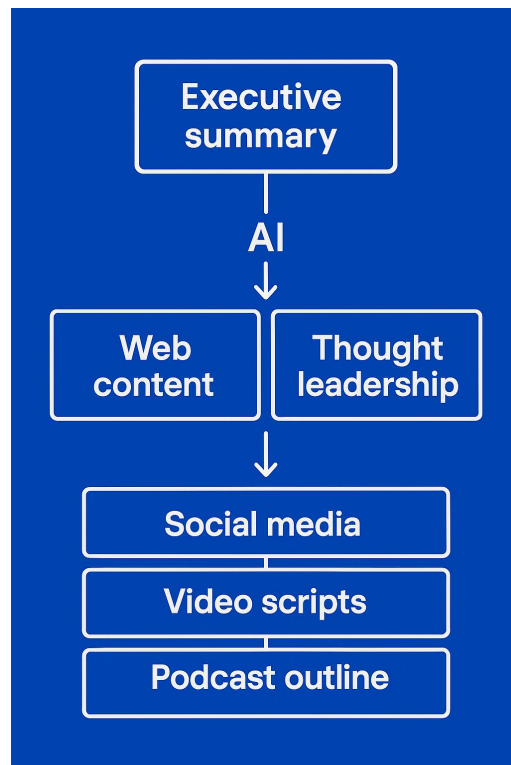


Figure 1 - Repurposing content with AI

Whether it's fresh original content or something from the archives, repurposing content with AI is a smart and efficient way to scale out messaging that is on-brand and resonating with targeted audiences. But, that's not the only benefit to using AI in the content pipeline. Here are some others.

- **Efficiency at scale:** AI accelerates every stage of the content process—research, ideation, scripting, compliance review, and production—allowing small teams to produce the volume and quality once reserved for larger institutions.
- **Consistency and compliance:** Automated drafting tools can apply firm-specific disclosures and tone rules across multiple pieces of content, reducing human error and improving review turnaround times.
- **Personalization:** Natural language and voice-generation tools enable firms to create **tailored educational content** for specific investor segments, from novice traders to high-net-worth investors.
- **Creative innovation:** Video, image, and audio AI tools—such as Heygen, Kling, and ElevenLabs—allow marketers to produce professional multimedia materials without large production budgets. Even if the AI content isn't public facing, it can be used internally to make first drafts of images, text, and video.
- **Data-driven insight:** AI tools can analyze which educational topics resonate most with investors, providing feedback loops that guide future campaigns.

Together, these capabilities turn AI into far more than a shortcut for creating outlines or repurposing content. They make it a strategic engine for producing high-quality, compliant, and consistently branded materials at scale. **For smaller RIAs and broker-dealers especially, the ability to create more content, more quickly,** and with tighter alignment to investor needs represents a real competitive advantage in a crowded marketplace.

How AI Can Fit in a Modern Content Pipeline

Alone we can do so little; together we can do so much. ~ Helen Keller

Nearly every firm today is using GPT or another scripting tool to write, edit, or summarize content, but the AI tools available to financial marketers now go beyond assisted blog posts and marketing ads. **AI has quietly become a multi-layered content engine** that can accelerate everything from strategy and scripting to video production, audio narration, and visual storytelling. The list below highlights some of the ways AI can help financial marketers:



Figure 2 – Types of AI tools

How AI Can Change the Competitive Landscape

Technology is a useful servant but a dangerous master. ~ Christian Lous Lange

AI doesn't replace human judgment or principal oversight. Instead, it modernizes the pipeline to help firms create more marketing and educational content, more consistently, while staying aligned with FINRA Rule 2210 and the SEC Marketing Rule.

When integrated with precision, **AI tools can help transform small and mid-sized firms into high-output content studios** capable of competing with institutions many times their size and budgets.

That's because, while large financial institutions have the budgets, personnel, and reach to dominate traditional advertising and marketing, their size comes with a cost; they wade through layers of legal, branding, IT, and compliance approvals before deploying anything new.

Having worked on projects at Schwab, Robinhood, Fisher Investments, and others, I understand how their technology stacks work, including the approval process for adding new integrations. Their risk committees and cybersecurity departments often prohibit the use of emerging AI platforms outright or until full vendor vetting and data security testing are complete.

This means large firms are operating months, sometimes years, behind in adopting innovative tools for content creation, marketing, and client education.

Smaller RIAs and broker-dealers, on the other hand, might have limited in resources, but they can be nimbler. With proper controls and third-party partnerships, they can safely integrate AI tools into their marketing and educational funnels long before the larger players can.

Why big firms struggle with AI adoption

Cybersecurity and data-governance concerns differ dramatically depending on whether the AI tool is enterprise-grade (such as Adobe Create Cloud suite) or consumer/cloud-based (such as Midjourney, Kling, or Heygen).

Classification	Risk Level	Typical Policy
Enterprise AI (Adobe, OpenAI Enterprise)	Low to Moderate	Approved with vendor review
Consumer AI (ChatGPT, Midjourney, Heygen)	Moderate to High	Limited to non-client or internal use
Open-Source AI (ComfyUI, Stable Diffusion, WAN)	Very High	Prohibited on firm devices and networks

Table 2 – Risk levels and types of AI

For large financial institutions, consumer AI platforms are generally off-limits. Their IT and compliance departments classify these tools as elevated risk because they operate in open or shared data

environments where user inputs may be stored, reused for model training, or exposed to third parties. Most commercial AI tools lack SOC 2 or ISO 27001 certification, making them incompatible with enterprise data-governance frameworks.

The problem isn't simply data privacy; it's the entire chain of custody. Open-data environments, unclear data-retention policies, and minimal audit transparency prevent large firms from safely integrating these tools into their content workflows. Every model prompt, image upload, or text input is a potential recordable event under SEC and FINRA rules, which few consumer AI providers can currently support.

As a result, **large firms are limited to enterprise systems** like Adobe's Creative Cloud suite, which, while secure and fully auditable, offer restricted creative flexibility. Firefly, for example, is Adobe's image and video generator but it has strict guardrails on what can be generated and relatively low prompt adherence compared to generators that focus solely on image or video.

Lifelike avatars, dynamic video, or complex visual scenes are still evolving in enterprise software. For creative teams, this often translates to slower turnaround times and less visually compelling AI content. Meanwhile, many **smaller and niche AI developers are operating at lightning speeds** to stay ahead of the competition in a saturated industry.

How smaller financial firms can compete

While large institutions remain constrained by complex approval chains and enterprise-only toolsets, smaller and mid-sized firms can move faster. They can adopt modern AI tools in a controlled, compliant manner that **accelerates lead generation** without increasing overhead or risk.

By partnering with a trusted third-party provider like Recast Financial, it's easier to safely access advanced creative technologies, even some of the open-source models that only a tiny fraction of content producers fully understand. MP4 videos, PDF white papers, Word documents, and other deliverables are self-contained, **easily archived in cloud storage**, and meet all recordkeeping and documentation standards.

The third-party model combines the agility of small teams with the rigor of enterprise compliance.

- **Speed to market:** Smaller firms can evaluate, refine, and publish AI-enhanced content in weeks instead of months.
- **Lower costs:** AI-driven scripting, audio, and video tools replace expensive production houses or agencies.
- **Tighter oversight:** Compliance officers can personally review each output to ensure it meets FINRA Rule 2210 and the SEC Marketing Rule.
- **Stronger connections:** Educational, personalized content builds investor trust more effectively than institutional advertising.

AI can level the content-marketing and sales funnel playing fields. Even a \$500,000 RIA can now produce a white paper (like this one) and a companion educational video (like the VSL on the site) with the quality and polish once reserved for a \$50 billion asset manager. With the right balance of creativity, disclosure, and documentation, smaller firms can start taking some of the assets and customers back from the behemoths with the massive ad budgets.

Turning Compliance into a Competitive Edge

*When you're in a competitive environment, you realize you can go farther than you thought possible. ~
Serena Williams*

For smaller RIAs or broker-dealers, compliance isn't just a constraint. It can be a differentiator. By **structuring AI workflows around disclosure, recordkeeping, and supervision**, firms can scale educational content while signaling integrity and professionalism.

Compliance-first AI workflows protect firms from reputational and regulatory risk while enabling faster, more creative production.

Transparent AI disclosure builds trust with investors who are increasingly cautious about "AI-generated" content.

Pre-approved templates for scripts, disclosures, and visuals create consistency and streamline approvals, allowing teams to focus on education rather than paperwork.

The firms that thrive in the next era of financial communication won't be those with the biggest marketing budgets; they'll be the ones who use AI most intelligently, within a **clearly defined compliance framework**.

The Recast Financial advantage

We can help smaller and mid-sized firms to:

- Safely use best-in-class creative tools—ChatGPT, Heygen, Kling, ElevenLabs, and Midjourney—without exposing sensitive data.
- Operate within a controlled, compliance-smart workflow where all outputs are pre-reviewed, documented, and archived.
- Receive final, scannable deliverables—MP4s, PDFs, and DOCXs—that meet internal and regulatory standards.
- Keep pace with innovation while larger competitors remain constrained by slower enterprise processes.

By aligning creativity with compliance, Recast Financial helps firms to deliver professional, educational, and fully compliant content that builds trust...and, ideally, generates leads.

Next steps

If your firm is exploring how to leverage AI not just for content creation, but also to develop educational materials that help grow your business, I encourage you to watch the accompanying executive video: *Educational Content as Lead-Gen Engine*.

It expands on the concepts in this white paper and demonstrates how a compliance-first, AI-supported workflow can help your firm scale investor education efficiently, safely, and at a fraction of traditional production costs.

If you'd like to discuss how this approach might align with your firm's specific needs, please schedule a consultation using the calendar tool on the website.

Thank you for reading, and for considering how responsible AI adoption can strengthen both your compliance posture and your client communication strategy.

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¹ [SEC Creates Task Force to Tap Artificial Intelligence for Enhanced Innovation and Efficiency Across the Agency](#), Nov 1, 2025.

² [SEC Adopts Rules on Cybersecurity Risk Management, Strategy, Governance, and Incident Disclosure by Public Companies](#), July 26, 2023.

³ <https://www.finra.org/rules-guidance/guidance/interpretations-financial-operational-rules/sea-rule-17a-4-and-related-interpretations>

⁴ [17 CFR § 275.204-2 - Books and records to be maintained by investment advisers](#)

⁵ [17 CFR § 240.10b-5 - Employment of manipulative and deceptive devices](#)

⁶ [Investment Adviser Marketing: A Small Entity Compliance Guide](#)

⁷ [2210. Communications with the Public](#)

⁸ [3110. Supervision](#)

⁹ [4511. General Requirements](#)

¹⁰ [3120. Supervisory Control System](#)