

GROK BOT FOR FINANCIAL ADVISORS

Less admin, more time with clients.

AI teammates that remember how your practice runs and draft the busywork. For independent advisors serving clients with two million dollars or more in assets.

 **You review. Your firm's compliance approves.**

Grok Bot vs. one-off ChatGPT or Claude chats

 **One-off chats:** a window you visit to ask questions.

 **Grok Bot:** a standing team that remembers your business, runs routines, and uses your tools.

"we started with chat bots, moved on to ephemeral agents that finish a task and then you kind of throw them away."

Public Grok Bot workshop video shared by @0xSoural on X

YOUR BOT TEAM

Example approaches: here's how a Grok Bot team could help



Morning brief

From your Chief of Staff bot



Today's meetings



Follow-ups due



Birthdays and life events



Compliance review queue



Client meeting prep

- Pulls notes and last meeting summary
- Builds a one-page prep sheet
- Drafts an agenda for your review



After the meeting

- Follow-up emails drafted from your notes
- CRM notes drafted for you to confirm



Life events and reviews

- Annual review reminders
- Birthdays and life events
- Flags clients nearing RMD age, generally 73³



Prospects and referrals

- Referral follow-up drafts
- Nudges to stay in touch with CPAs and attorneys



Marketing and events

- Newsletter, invite, and LinkedIn drafts
- Seminar and event logistics
- Routed for compliance approval



Practice operations

- Onboarding checklists and task lists
- Document request lists
- Keeps drafts and approvals organized for your firm's recordkeeping



Compliance-aware by design

-  **No advice, no trading.** The bots don't give investment advice, make recommendations, place trades, or touch client accounts.
-  **Your firm's process.** Every client or public message is drafted for your review. Broker-dealers: a principal approves retail communications first (FINRA Rule 2210).¹ RIAs: the SEC Marketing Rule applies.² Nothing goes out without your firm's approval.
-  **Privacy first.** Keep sensitive client data, like SSNs and account numbers, out of the bots unless your firm approves.



It helps at home too

 Finds local events that match your interests



Plans trips like a travel agent: flights, stays, a day-by-day itinerary. You approve any booking.



Personal and family reminders



Reese's own bot is planning his Europe trip right now.

Start with a Stack Map

A working session and written plan for your business, mapping where a Grok Bot team fits.

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Practice-minded help. Reese Harris has consulted with financial advisors for years, mostly on marketing. He's a former tax accountant and built and sold a B2B distribution company.