



COMPLIANCE WORKFLOW SOFTWARE

WHY RED OAK?

Red Oak is the compliance review platform of choice in the financial services industry with clients having over \$14 trillion in assets under management. Clients range from single State Advisers to many of the world's largest asset managers. Discover why the biggest firms in the industry rely on Red Oak to improve their compliance, legal and supervisory reviews, books and records storage, and regulatory reporting.

SETTING THE NEW **STANDARD** IN REGULATORY COMPLIANCE

RED OAK SOFTWARE

A comprehensive suite of SEC 17A-4 compliant features, tailored to meet the evolving needs of financial firms, small and large.

SOFTWARE HIGHLIGHTS

- Advertising Review
- Correspondence
- Events
- Gifts, Political Contributions
- Non-cash Compensation
- Complaints
- Annual Questionnaires
- New Hire Paperwork
- Regulatory Inquiries
- Outside Business Activities
- ADV Part 2B
- Registration Requests
- Branch Exams
- ...and much more!



#redoaksoftware
#redoakcompliance
#redoaksoftware
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**THE BEST COMPLIANCE REVIEW
SOFTWARE IN THE WORLD.
PERIOD**

LEVERAGE TECHNOLOGY TO SIMPLIFY THE COMPLIANCE REVIEW PROCESS

Your staff and advisors will leverage secure web-based technology to submit material for review using our state of the art software.

RELIEVE BURDEN

Manage the risk to your firm instead of the process. Automated tracking, recordkeeping and regulatory reporting gives representatives, compliance, supervision, legal and management excellent visibility. Eliminate the faxes, emails, spreadsheets and need for paper with SEC Rule 17(a)-4 compliance.

IMPROVE EFFICIENCY

Implemented and supported by Red Oak's compliance experts.

- Fully SEC 17(a)-4 compliant
- Easy to use
- Consolidate multiple processes
- Reduce turnaround times
- Easily satisfy audits
- Parallel reviews
- Automated deficiency detection
- Full text searching
- Bi-directional FINRA filing
- REST API for integration
- Notifications and Reminders



We understand that Compliance does not operate in a vacuum. Red Oak works seamlessly with all of the internal departments and external entities you must engage to be fully compliant. It turns many moving parts into a well-oiled machine.

DESIGNED BY EXPERTS

Red Oak was designed and built by a team of financial services compliance experts.

EMPHASIS ON USABILITY

Our entire team is focused on ease-of-use. The user-interface of Red Oak has been carefully designed to ensure that it takes the least amount of time possible for users to accomplish the task at hand.

- Completely cloud-based SaaS offering
- Built on the latest technologies and highest standards
- All major browsers supported
- Responsive Layout
- Attractive, modern look and feel
- Highly configurable
- Flexible workflow and question definitions
- Built in reports track productivity
- Video and audio streaming
- On-line annotations
- Single sign on

PRICING

Red Oak's price is based on the number of new submissions created making it an affordable for all firms, no matter their size.

- Monthly contract
- No hidden fees
- Volume based

OUR CLIENTS LOVE US!

"I love working with your team. They are always so responsive, helpful and insightful and make my experience with Red Oak first class.

Thank you."

- Derick Vermillion
Chief Compliance Officer
Impact Partnership

"We are very pleased with our decision to use Red Oak. With Red Oak, our Compliance team does not need to involve our IT team for tasks such as: creating spreadsheets linking to the bulk export of documents, administration of users, or customizing data entry fields.

I highly recommend Red Oak given my experience and their high quality of service."

- Lauri Friel, Director of Compliance
CNL Securites

"I can't tell you how pleased I am. Red Oak has made my job so much easier!"

- Tom Kennedy
Compliance Executive Director
Waddell & Reed and Ivy Funds