



Seismic + Red Oak: A Current Look at the Integration

Where We Are, Where We're Going

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Nate Isaacson

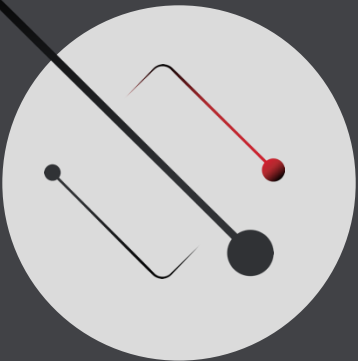
Senior Financial
Services Strategy
Director, **Seismic**



Mike Lubansky

Senior VP of
Strategy, **Red Oak**





Agenda

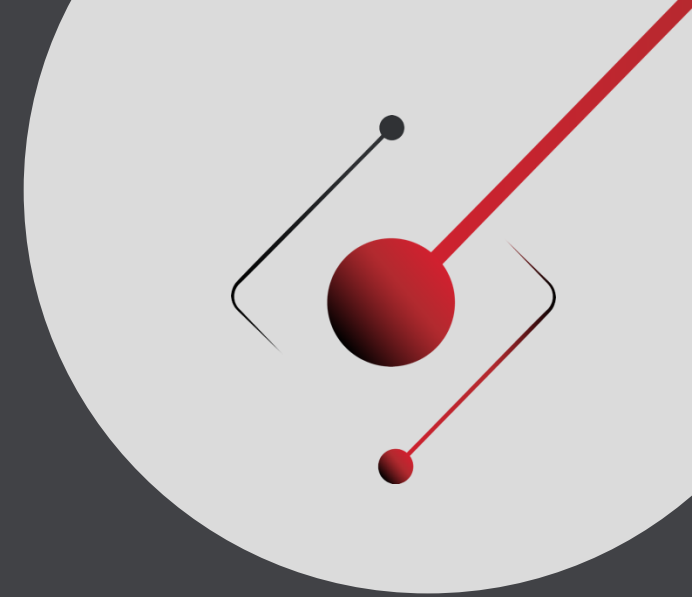
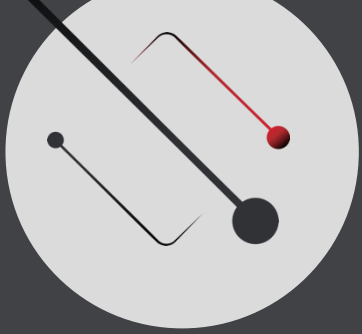
Current state, vision & roadmap

Panel discussion

Audience Q&A

Different Types. Same School. Better Together.





The Story So Far

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Let's Address a Misconception

- At last year's conference, attendees wrote on sticky notes: "It would be great if there were a Seismic–Red Oak integration."
- The integration already exists
- Today: ~15 clients live with integration (some on custom build, some on the newer connector)
- Active roadmap, growing interest, and a deepening partnership
- Today: transparent look at current state, gaps, plan forward

The Core Philosophy



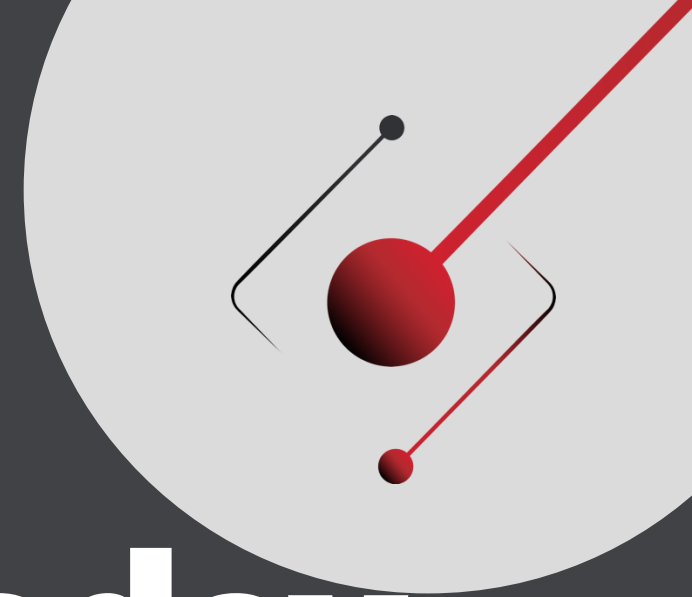
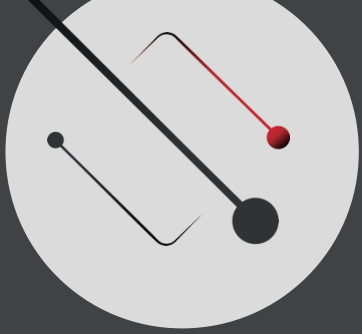
Keep the Seismic user in Seismic



Keep the compliance reviewer in Red Oak



Seamless, automated flow between the two – so the right content reaches the right people, compliantly.



The Connector Today

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Seismic + Red Oak: Compliant Content, Seamlessly Connected

1. Create Content

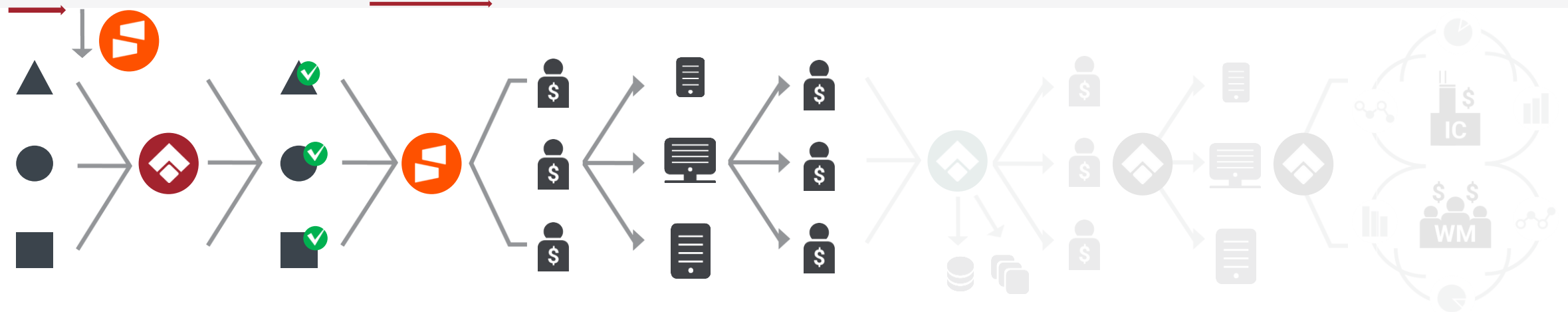
Marketer uploads content into Seismic, submits for approval in Red Oak

3. Seismic Library

Approved content syncs back to Seismic with compliance metadata, status, and expiration date.

5. Advisor Use

Advisor receives, discovers content and uses with clients or reviews to inform decisions




2. Compliance Review & Approvals


Compliance reviews in Red Oak, confirms metadata, sets expiration, makes annotations

4. Wholesaler Discovery

Wholesalers search and discover approved content in Seismic and send to Advisors

▲ ● ■ = Variety of Asset/Doc Types & Product Types ETF, SMA, REIT, etc

 = Compliance

 = Seismic

Ecosystem Example- Seismic integration with Compliance

There are three core integration workflows between Seismic and Red Oak Compliance

1 External Content Approvals

Content created outside Seismic (or via Workfront/AEM) flows to Red Oak for approval

Approved content syncs to Seismic with full metadata: compliance status, expiration dates, approval codes

Auto take-down: content automatically removed from Seismic on expiry

2 Seismic to Red Oak for Archival

Content that doesn't need approval is submitted to Red Oak for regulatory record-keeping

Audit trail created and maintained – retrievable for exams and regulatory reviews

Content stays active in Seismic; Red Oak holds the compliance record

3 Seismic to Red Oak and Back

Marketer uploads or finds content in Seismic and submits directly to Red Oak for review

Back-and-forth workflow: compliance reviews in Red Oak, submitter tracks status in Seismic

Multi-step approval supported: data review + compliance review, all tracked in Red Oak

Approved content syncs back to Seismic with status, metadata, and expiry enforced

Current State vs. What's Next

How It Works Today

- User enters basic metadata in Seismic to initiate a Red Oak submission
- Standard file types supported
- Submission types tied to Seismic content properties
- If content property is not selected, Red Oak form does not trigger
- Content flows reliably between systems once properly configured

The Next Evolution

- UI extension embeds Red Oak's form directly in Seismic
- Rule-based flexibility: routing based on audience and workflow
- Clone submissions from within Seismic
- Annotations: Red Oak annotations surface natively in Seismic
- Seismic-native content types (DSRs, bulk email templates) supported

Introducing Direct Indexing

A Personalized Investment Approach

September 2025

Overview

Aura

Ask Aura a question about this content item

Content Details

Description
Something here that includes a description if you want to do that here it is yada yada

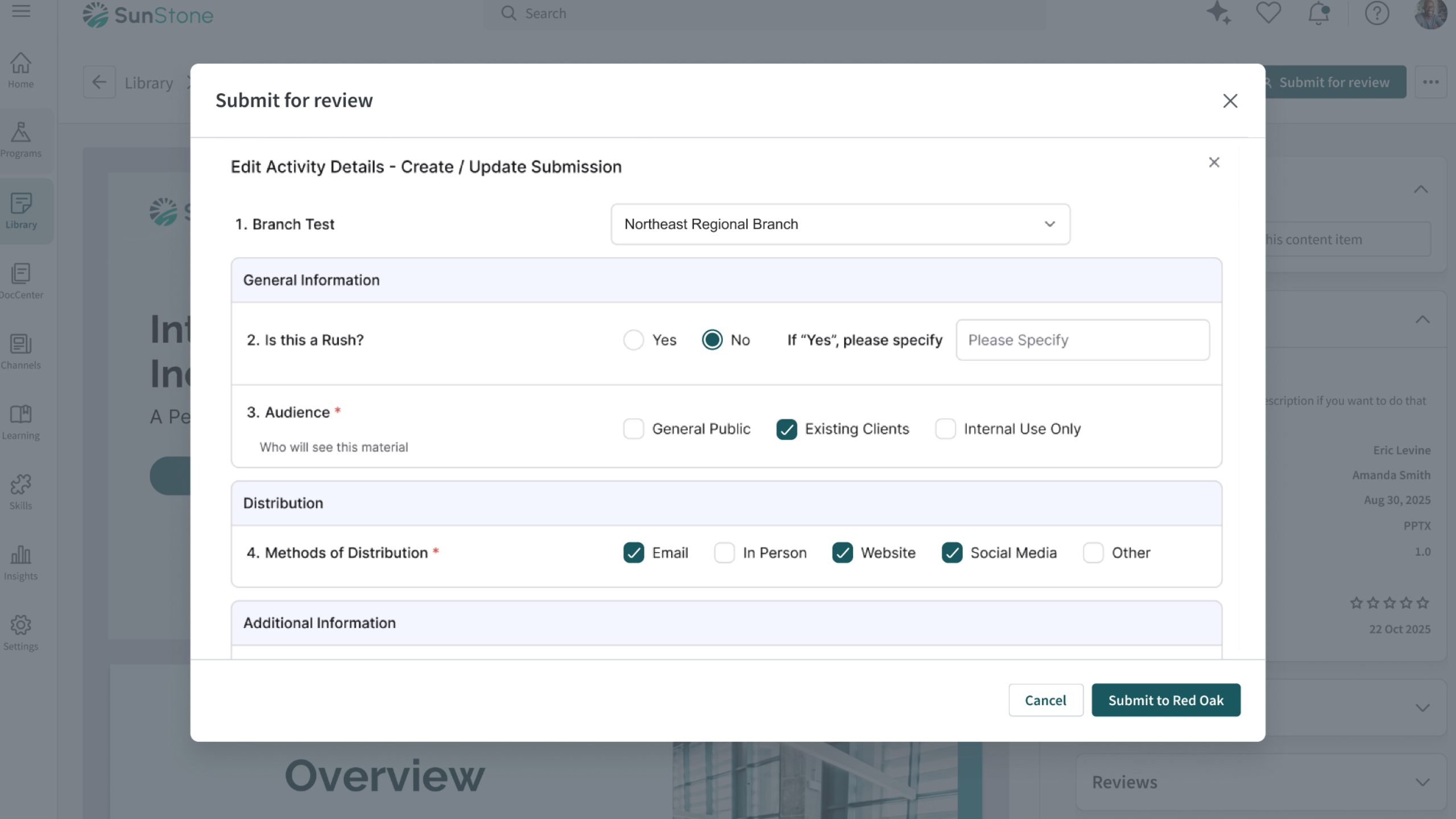
Owner	Eric Levine
Expert	Amanda Smith
Published on	Aug 30, 2025
File type	PPTX
Version	1.0

Rating: ☆☆☆☆

Expiry date: 22 Oct 2025

Content Properties

Reviews



← Library

Submit for review



Edit Activity Details - Create / Update Submission



1. Branch Test

Northeast Regional Branch



General Information

2. Is this a Rush?

Yes

No

If "Yes", please specify

Please Specify

3. Audience *

Who will see this material

General Public

Existing Clients

Internal Use Only

Distribution

4. Methods of Distribution *

Email

In Person

Website

Social Media

Other

Additional Information

Cancel

Submit to Red Oak

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Overview




Aura

Ask Aura a question about this content item

Content Details

Description
Something here that includes a description if you want to do here it is yada yada

Owner: Eric L
Expert: Amanda S
Published on: Aug 30,
File type:
Version:

Rating: ☆☆☆
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Content Properties

Reviews

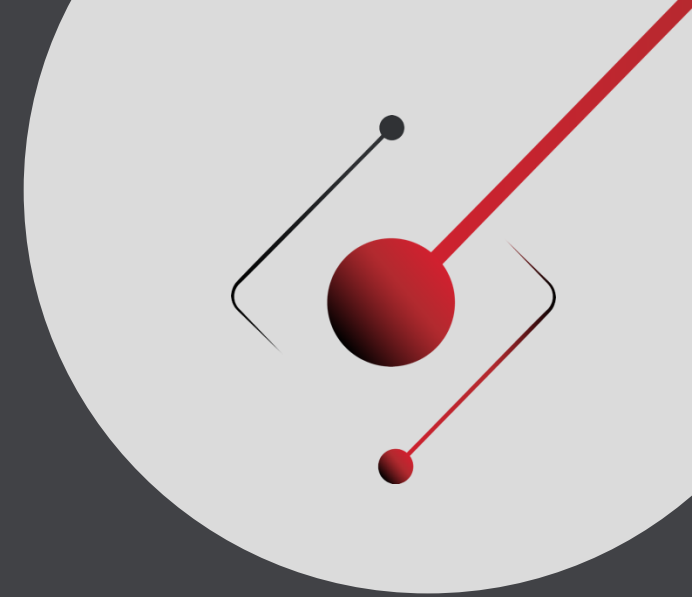
What Clients are Saying

Client 1: "This integration is definitely helpful — it solves the biggest sticking point."

- Moved from skepticism to confidence after seeing the three out-of-the-box workflows
- Eliminated manual download → re-upload cycles between systems; described as "cutting your time in half"
- Multi-step approval (data review + compliance) all tracked in one system

Client 2: Active evaluation — the connector addresses their core pain points

- Moved from skepticism to confidence after seeing the three out-of-the-box workflows
- Eliminated manual download → re-upload cycles between systems; described as "cutting your time in half"
- Multi-step approval (data review + compliance) all tracked in one system
- Currently tracking materials in Excel with manual expiration management
- Email-based approvals with no audit trail; no centralized disclosure repository
- The connector's automation and record-keeping directly solves each of these
- Mitigates risk



What's Changed

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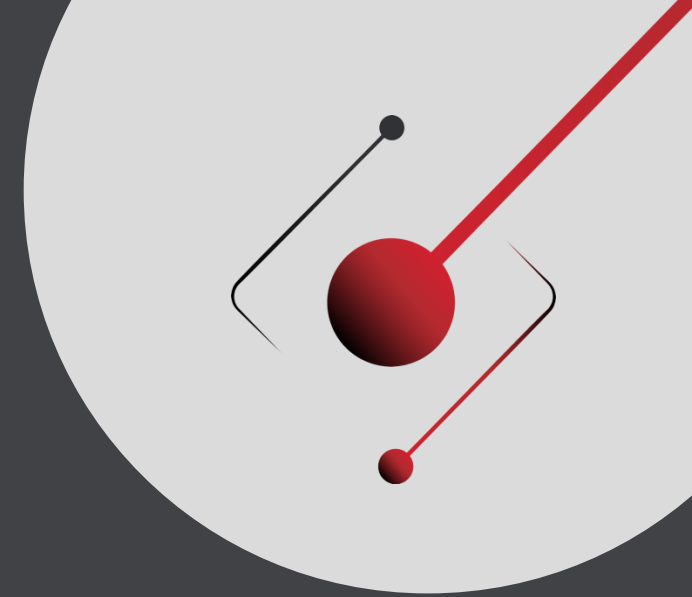
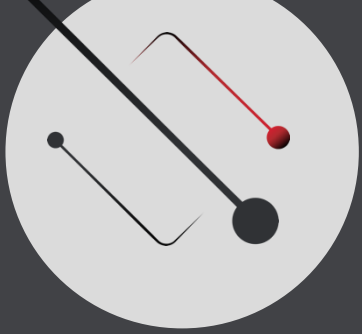
From Isolation to True Partnership

How It Was Built

- Original connector built by Seismic without deep Red Oak collaboration
- UI extension hard-coded to a single vendor use case —not universally accessible
- Resulted in a functional but rigid integration with limited flexibility
- Limited joint client engagement or co-development

How We Work Today

- Active co-development: Red Oak and Seismic building enhancements together
- Design partner approach
- Joint prospect and client calls
- Commitment from both organizations to make this integration best-in-class



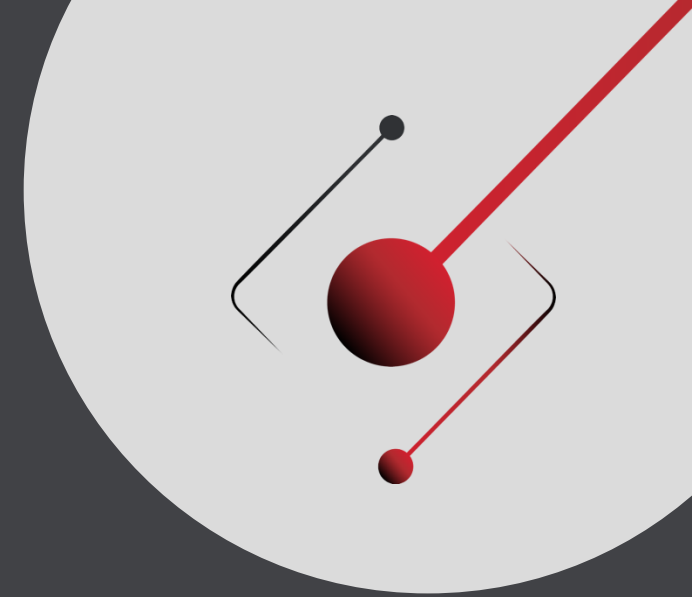
The Roadmap

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Roadmap Plans for 2H 2026

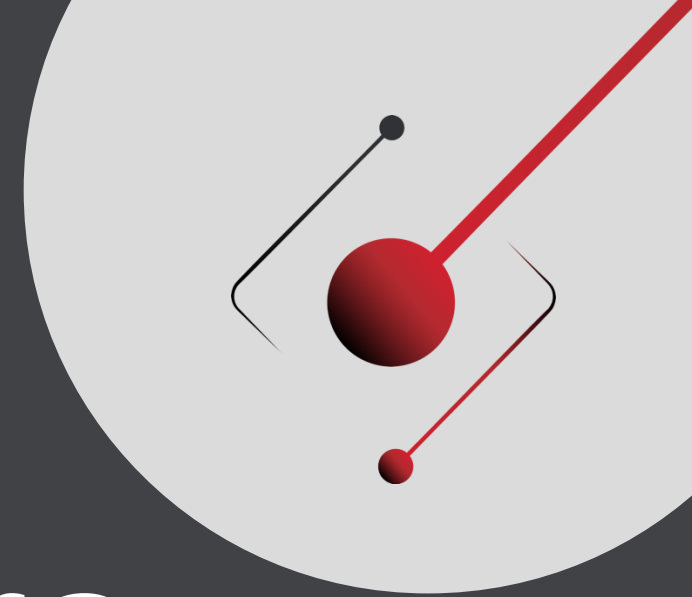
Near-Term

- Quick Form- UI extension flexibility
- Clone submissions: find and copy-paste Red Oak submissions
- Red Oak reviewer annotations surface natively in Seismic
- DSR & bulk email template support
- Compliance Services Layer



The Unlock

Seismic's compliance services layer — coming later this year — will span the entire platform and enable advisors to personalize pre-approved content and route it for compliance review. This is what unlocks true end-to-end engagement integration between Seismic and Red Oak.



The Bigger Picture

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Beyond Compliance: Distribution and Supervision

Distribution

- Approval code sync from Red Oak 4U back to Seismic
- Validate recipients
- Addresses real “spreadsheet” pain

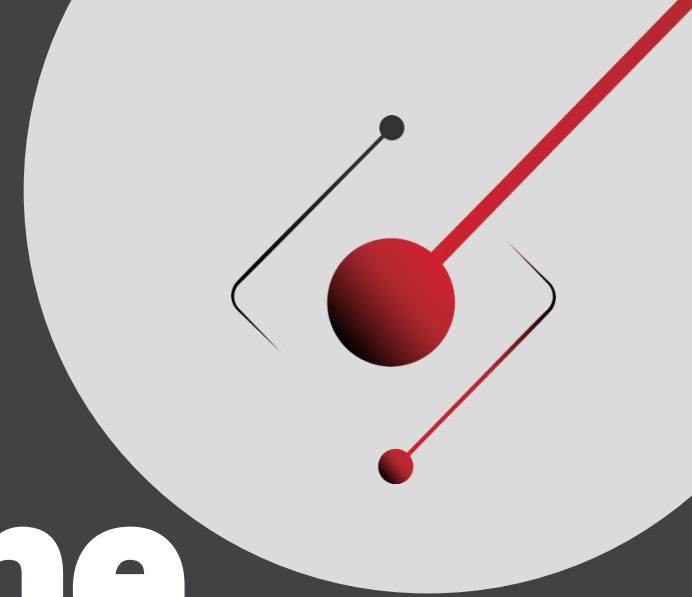
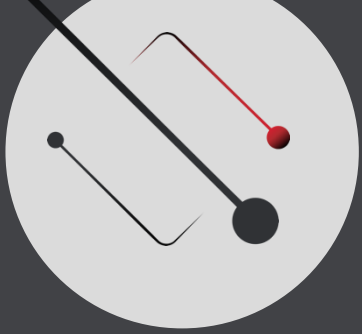
The Next Evolution

- Seismic building archive connectivity
- Current gap: DSRs sent as links can't be deep-linked by archive systems
- DSRs, LiveSend communications captured by Red Oak Supervision for full auditability

Better Together. And Just Getting Started



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Let's Hear from the People Who Have Lived This

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**Mike
Lubansky**
Red Oak



**Nate
Isaacson**
Seismic



**Johanna
Anders**
Janus
Henderson
Investors



**David
Herndon**
Red Oak

Questions

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