

The background features several abstract geometric elements: a white circle in the top-left containing a red sphere and black lines; a large black circle in the top-center; a red circle in the top-right; a red sphere with black lines in the top-right; a dark grey circle in the bottom-left; a large black semi-circle at the bottom; and a small black circle in the bottom-right.

# From Vision to System

**The Compliance Connectivity Roadmap**

**ACCELERATE** 2026



**Kirsten  
Newbold-Knipp**

Chief Operating  
Officer



**Kirk  
Sadler**

Chief Product  
Officer



**Amanda  
Cardenas**

Senior Product  
Manager,  
Red Oak



**Jamie  
Hoyle**

VP of Product,  
MirrorWeb



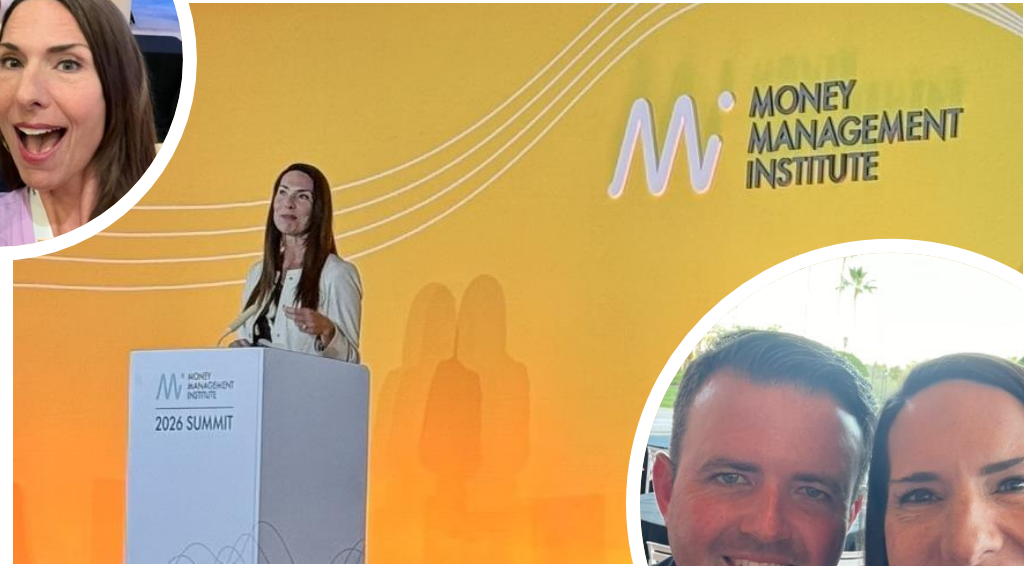
**Samantha  
Young**

Senior Product  
Manager,  
Red Oak



# Agenda

- **Why Compliance Connectivity?**
- **What is the CCP?**
- **Since We Last Met**
- **2026 Roadmap**
- **Our Vision for You**
- **In Closing**



**ACCELERATE** 2026

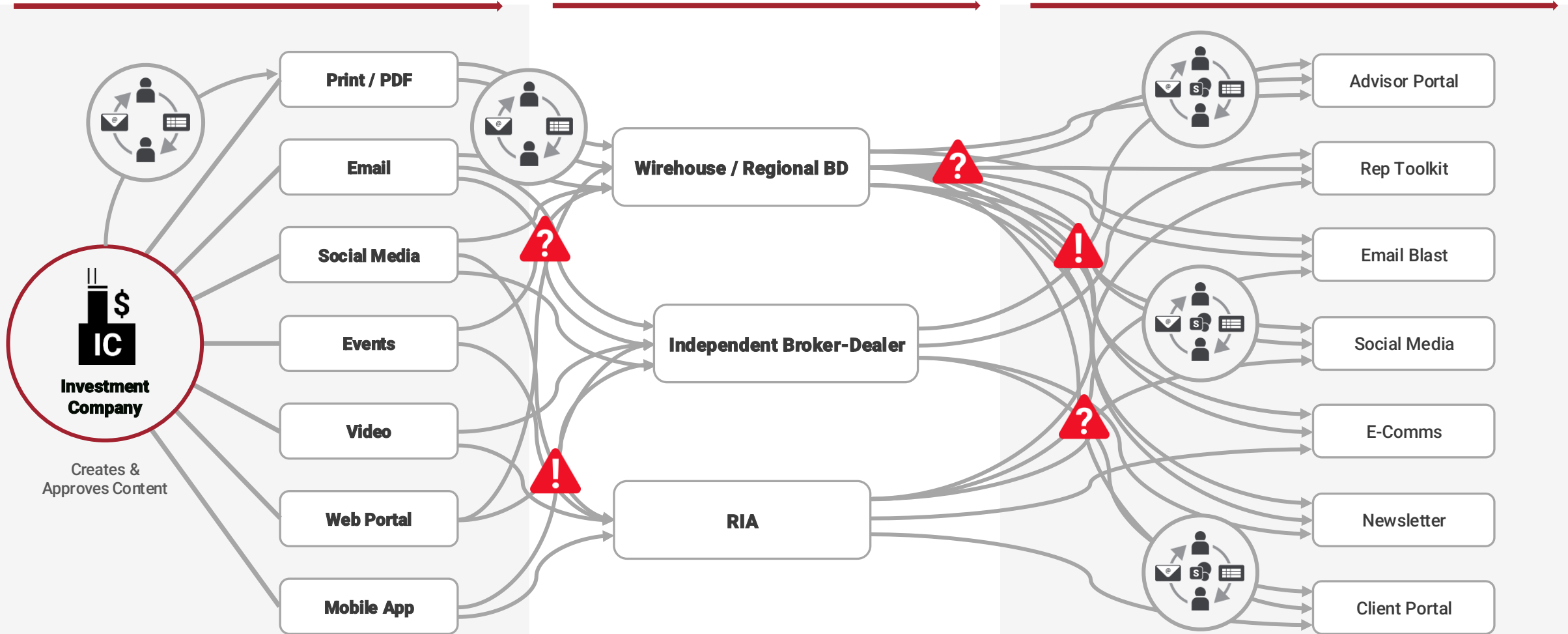


# Complexity & Silos Slow You Down

## INVESTMENT COMPANIES

## WEALTH MANAGEMENT COMPANIES

## ADVISORS

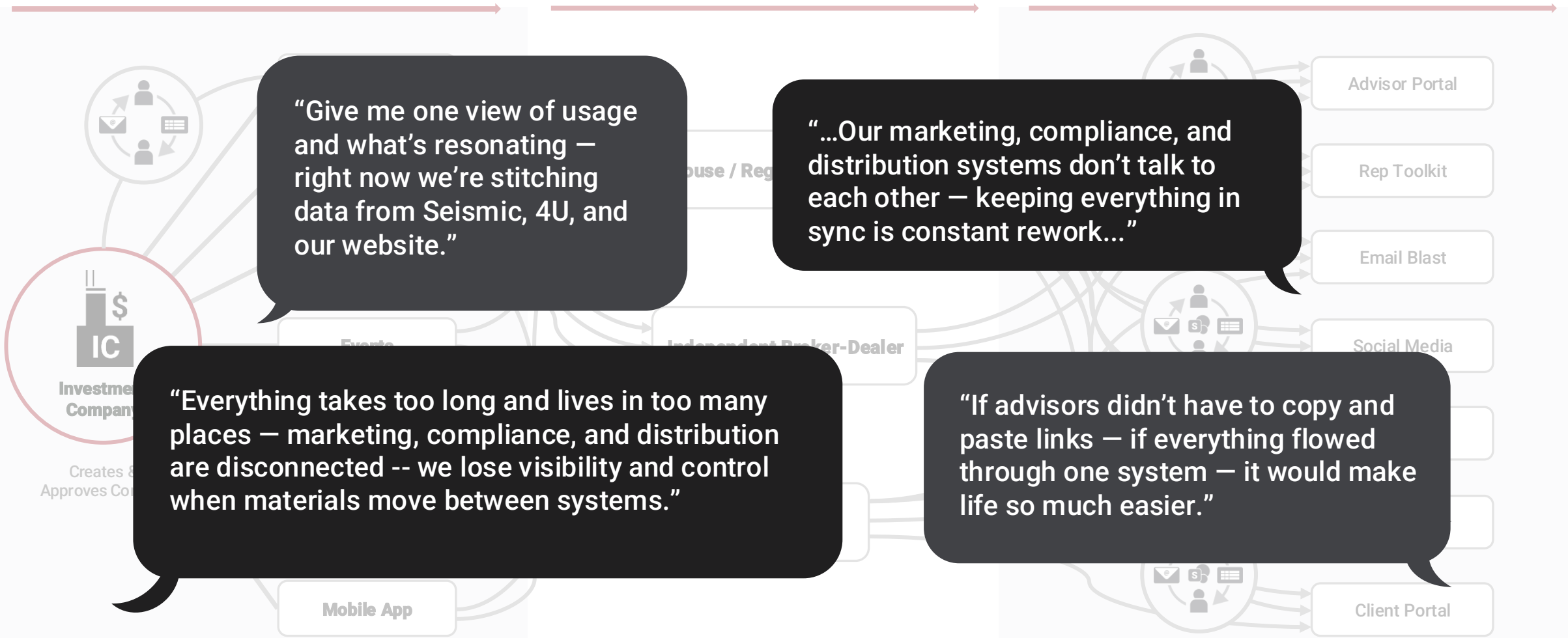


# Complexity & Silos Slow You Down

INVESTMENT COMPANIES

WEALTH MANAGEMENT COMPANIES

ADVISORS



“Give me one view of usage and what’s resonating – right now we’re stitching data from Seismic, 4U, and our website.”

“...Our marketing, compliance, and distribution systems don’t talk to each other – keeping everything in sync is constant rework...”

“Everything takes too long and lives in too many places – marketing, compliance, and distribution are disconnected -- we lose visibility and control when materials move between systems.”

“If advisors didn’t have to copy and paste links – if everything flowed through one system – it would make life so much easier.”

# Driving AUM Growth

## Speed

**AI-powered** workflows to move ideas to compliant content fast



## Reach

**Connected ecosystem** gets the right content to thousands of advisors



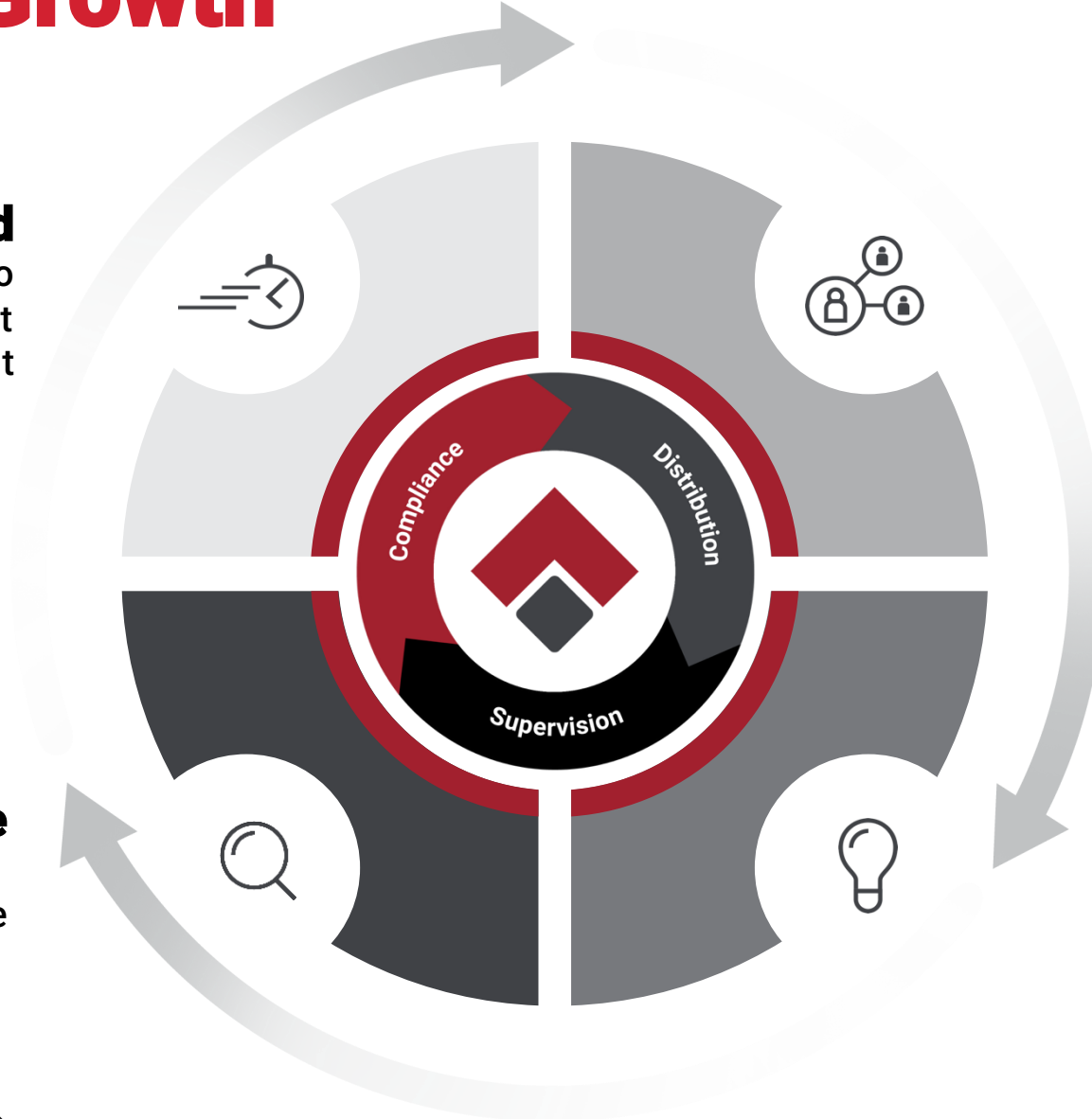
## Confidence

**Proactive** supervision ensures compliance at scale



## Insights

Analytics & AI reveal **growth levers** at both advisor & firm levels



# Measuring Success Together

First Pass  
Rate

Content  
Engagement  
Rate

Time to  
Issue  
Resolution

Average  
Content  
Revisions

Issues per  
Monitored  
Site

# Measuring Success Together

48%  
- to -  
95%

First Pass  
Rate

Content  
Engagement  
Rate

7%  
- to -  
32%

Time to  
Issue  
Resolution

?

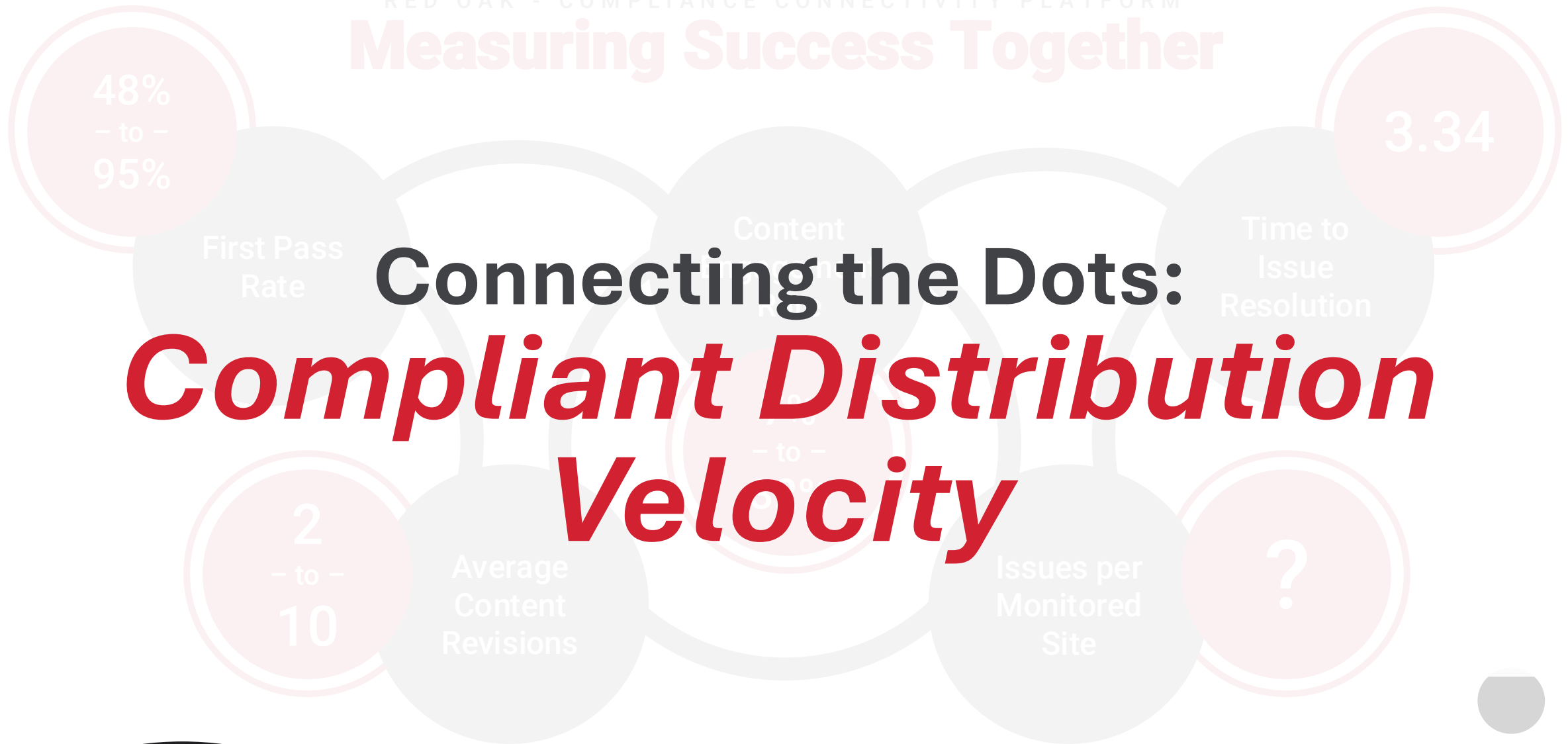
2  
- to -  
10

Average  
Content  
Revisions

7%  
- to -  
32%

Issues per  
Monitored  
Site

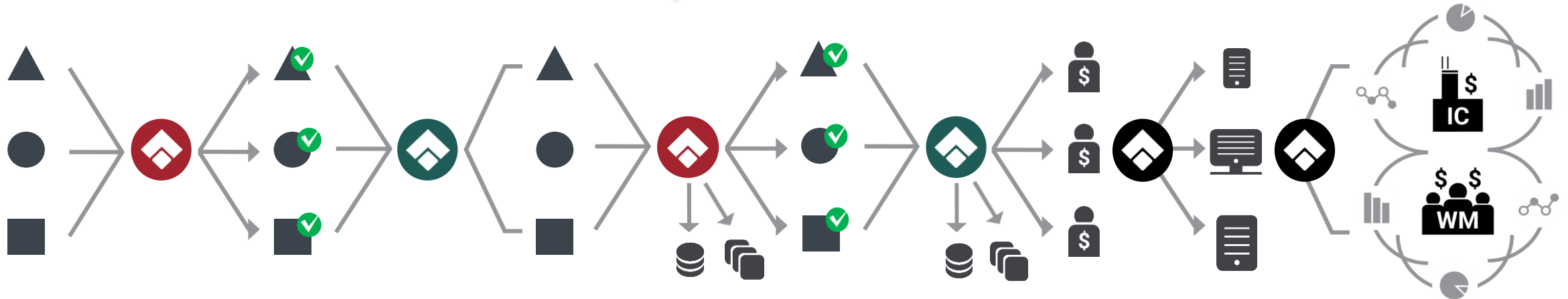
3.3



# Connecting the Dots: *Compliant Distribution Velocity*

# Connected Platform Reduces Risk & Grows AUM

Go from weeks to days with the connected, compliant content that advisors use



Power recommendations and optimization with exclusive data usage and networked insights

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

🏠 = Compliance

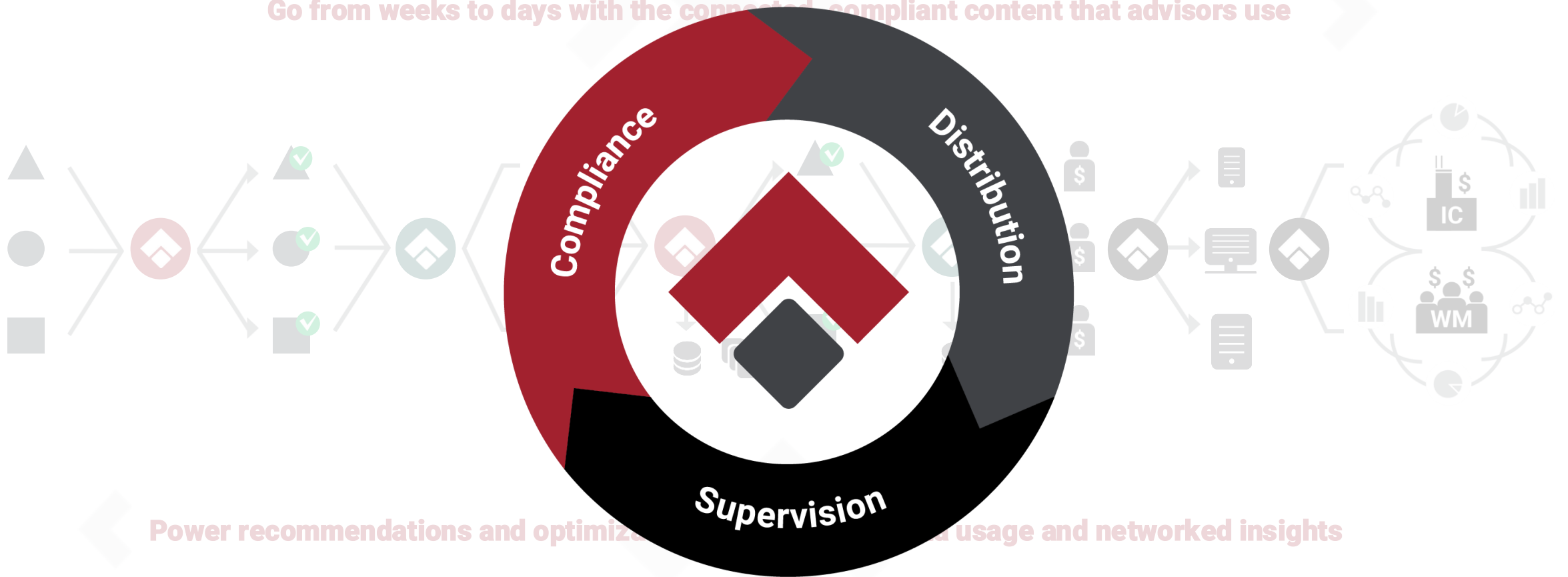
🏠 = Distribution

🏠 = Supervision

RED OAK - COMPLIANCE CONNECTIVITY PLATFORM

# Connected Platform Reduces Risk & Grows AUM

Go from weeks to days with the connected, compliant content that advisors use



Power recommendations and optimization with usage and networked insights

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

⬠ = Compliance   ⬠ = Distribution   ⬠ = Supervision



# Since We Last Met



**ACCELERATE** 2026

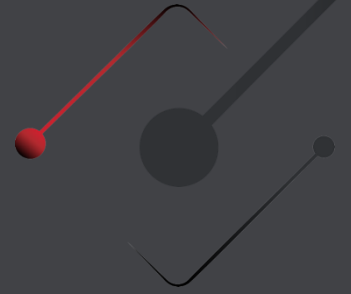
Transcription Upload **View Most Recent Submissions**  
**AI Vision** Session Security **Email Notifications**  
Fingerprint Disclosure Detection Annotations  
Document Encryption Group Verification Combine Documents  
Display Tabs Accessibility Drag & Drop Documents Verifier Notifications  
ADA Compliance Compliance Posture Submission Report  
Rep Dashboard Lexicon  
Supporting Materials **Send to 4U** Audit Log  
Multi-Language  
FINRA Letter **Document Matching** Transcription  
Checkpoint Rules FINRA Integration Status History Clone User  
Unaffiliated Firms U4 Onboarding Verification  
U4 Filing Submission Report Email **Classifications**  
Exam Notifications Activity Log Manual Disclosure Expiration  
View # of Active Users **New Hire Search** Activity Overview  
Session Timeout Yellow FINRA Comment Status

Make Available  
Global Search  
Approval Request  
Advisor Engagement  
Collections  
Trending  
Filters  
Digest  
Email Notifications  
Content Expiration  
Group Requests  
Calendar  
Export  
Company Controls  
Customized Events  
Category  
Status  
Counters  
Submission  
Subcategories  
Share Messaging  
Inactive User Safeguards  
Workflow  
Resubmission  
Watchers  
Publication Window  
Discovery  
SSO Restrictions  
Saved Search  
Red Oak Integration  
Reviewer Navigation  
Tile Redesign  
Internal Notes Adoption  
Inactive User Safeguards  
Workflow  
On Hold

AI Workflow View Enhancements  
Supervisor Alerts  
PDF Markup in SMC  
Connection Manager Updates  
Policy Field UI/Export  
LinkedIn Featured Updates  
Profile Version Comparison  
AI Workflow Creator  
Identities Hub  
Duplicate User Detection  
Like Exception Rule  
Video Library Support  
User Tags & Flex Fields  
Marketing Address Controls  
Admin Integration Settings  
Compliance Integration  
Mgmt  
Jump-to-Content Options  
Review Groups Buckets  
Video Content in Library  
Auto-Disapprove Profiles  
Website Change Workflows  
Library UI Upgrades  
Library Changes Alert  
Customize Library Content  
Compliance Bypass Attestation  
Faster Delegate Login  
Withdraw While In Review  
Reviewer-Level User Tags  
Block Edits During Review  
DM Attachment Policy Rule  
Enhanced CMS Email Branding  
Submission Alerts

# Back By Popular Demand

# Sticky Notes



Go to [redoak.com/stickynote](https://redoak.com/stickynote)



Follow the link and enter your name



**ACCELERATE 2026**  
Product Wish List  
Sticky Note Session

Welcome! Share your product ideas and help shape our roadmap.

**STEP 1**  
Find your product zone:

- Compliance
- Distribution
- Supervision

**STEP 2**  
Pick the right lane:

- Feature Requests
- Improvements
- Integrations
- Other

**STEP 3**  
Grab a sticky note that matches your lane color.

Write ONE idea per sticky.  
Keep it short and clear!

**STEP 4**  
Drop your sticky note into the correct lane.

**STEP 5**  
Use the "stamp" function in the bottom nav bar

★ AI-related idea?  
Add a STAR stamp!



Like an idea that's already on a sticky note? Add a thumbs up stamp!



# 2026 Roadmap



**ACCELERATE** 2026

# 2026 Roadmap Themes

---

## Compliance-Grade AI™

- Agents as users
- Human-in-the-loop controls
- Full audit trail of AI decisions

83%

# 2026 Roadmap Themes

---

## Compliance-Grade AI™

- Agents as users
- Human-in-the-loop controls
- Full audit trail of AI decisions

83%

## Scalable Capabilities

- Data access and insights
- Client-driven enhancements
- Performance/load

~1000

# 2026 Roadmap Themes

---

## Compliance-Grade AI™

- Agents as users
- Human-in-the-loop controls
- Full audit trail of AI decisions

83%

## Scalable Capabilities

- Data access and insights
- Client-driven enhancements
- Performance/load

~1000

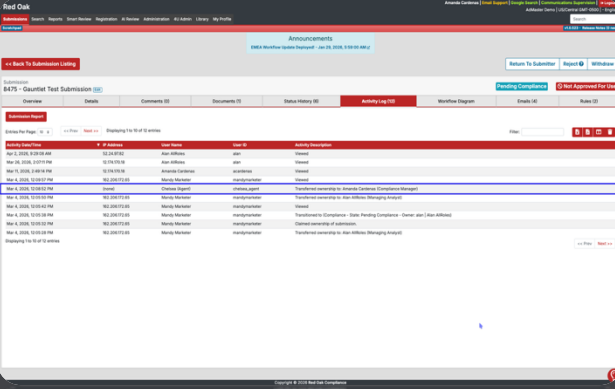
## Connectivity

- **End-to-end workflows**
- **Meet users where they are**
- **Single source of truth**

~12

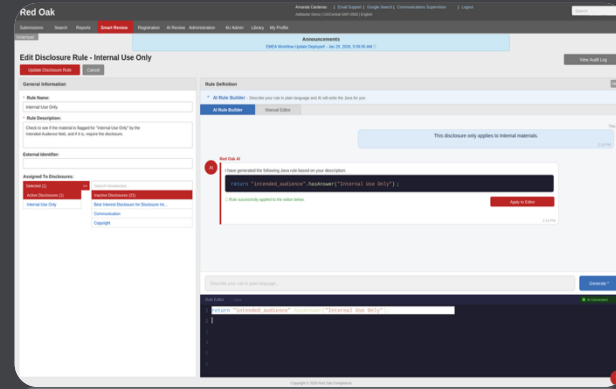
# Compliance

## Accelerating time to approval



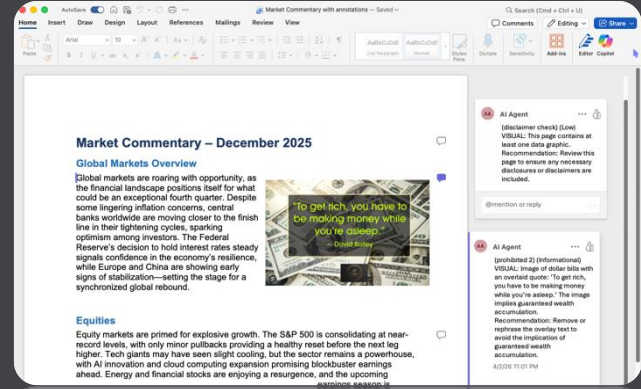
**AI Agents**

AI agents that operate as compliant users - reviewing content, routing submissions, and managing disclosures - with every action logged to a full traceability.



**Intelligence Layer**

AI-powered rule management, automated disclosure validation, and regulatory change monitoring - turning your review data into proactive compliance insight



**Connectivity**

Meet submitters where they work - pre-review in Word or PowerPoint, MCP connectivity for enterprise AI tools - with Compliance as the books-and-records backbone.

### KEY BENEFITS

- Faster content approval cycles

- Eliminate manual review bottlenecks

- Full audit trail for every decision

# Compliance – Compliance-Grade AI™ Agents

**Red Oak** Amanda Cardenas | Email Support | Google Search | Communications Supervision | AdMaster Demo | US/Central GMT-0500 | English

Submissions Search Reports Smart Review Registration AI Review Administration 4U Admin Library My Profile

Scratchpad v1.0.523 - Release Notes (0 new)

Announcements  
EMEA Workflow Update Deployed! - Jan 29, 2026, 5:59:00 AM

<< Back To Submission Listing Return To Submitter Reject Withdraw

Submission  
8475 - Gauntlet Test Submission [Edit](#) Pending Compliance Not Approved For Use

Overview Details Comments (0) Documents (1) Status History (6) **Activity Log (12)** Workflow Diagram Emails (4) Rules (2)

Submission Report

Entries Per Page: 10 << Prev Next >> Displaying 1 to 10 of 12 entries Filter: [ ]

| Activity Date/Time       | IP Address     | User Name       | User ID       | Activity Description   |
|--------------------------|----------------|-----------------|---------------|--|
| Apr 2, 2026, 9:29:08 AM  | 52.24.97.82    | Alan AllRoles   | alan          | Viewed   |
| Mar 26, 2026, 2:07:11 PM | 12.174.170.18  | Alan AllRoles   | alan          | Viewed   |
| Mar 11, 2026, 2:49:14 PM | 12.174.170.18  | Amanda Cardenas | acardenas     | Viewed   |
| Mar 4, 2026, 12:09:57 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Viewed   |
| Mar 4, 2026, 12:08:52 PM | (none)         | Chelsea (Agent) | chelsea_agent | Transferred ownership to: Amanda Cardenas (Compliance Manager)                         |
| Mar 4, 2026, 12:05:50 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Transferred ownership to: Alan AllRoles (Managing Analyst)                             |
| Mar 4, 2026, 12:05:42 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Viewed   |
| Mar 4, 2026, 12:05:38 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Transitioned to (Compliance - State: Pending Compliance - Owner: alan   Alan AllRoles) |
| Mar 4, 2026, 12:05:32 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Claimed ownership of submission.   |
| Mar 4, 2026, 12:05:28 PM | 162.206.172.65 | Mandy Marketer  | mandymarketer | Transferred ownership to: Alan AllRoles (Managing Analyst)                             |

Displaying 1 to 10 of 12 entries << Prev Next >>

Compliance-Grade AI™ logs AI Agents' activities in the Activity Log

AI Agents accelerate time to approval by proactively taking action while you are doing something else

# Compliance – Intelligence Layer

The screenshot displays the Red Oak Compliance Intelligence Layer interface. At the top, the user is logged in as Amanda Cardenas. The main navigation bar includes 'Submissions', 'Search', 'Reports', 'Smart Review', 'Registration', 'AI Review', 'Administration', '4U Admin', 'Library', and 'My Profile'. An announcement banner states 'EMEA Workflow Update Deployed! - Jan 29, 2026, 5:59:00 AM'. The current page is titled 'Edit Disclosure Rule - Internal Use Only' and features two buttons: 'Update Disclosure Rule' and 'Cancel'.

The interface is divided into two main sections: 'General Information' and 'Rule Definition'. The 'General Information' section includes fields for 'Rule Name' (Internal Use Only), 'Rule Description' (Check to see if the material is flagged for "Internal Use Only" by the Intended Audience field, and if it is, require the disclosure.), 'External Identifier', and 'Assigned To Disclosures'. The 'Assigned To Disclosures' section shows a list of selected disclosures, including 'Internal Use Only', 'Best Interest Disclosure for Disclosure Int...', 'Communication', and 'Copyright'.

The 'Rule Definition' section is currently in 'AI Rule Builder' mode. It contains a text input field with the description: 'Describe your rule in plain language and AI will write the Java for you'. Below this, a chat-style interface shows a message from 'Red Oak AI' stating: 'I have generated the following Java rule based on your description:'. The generated rule is: `return "intended_audience".hasAnswer("Internal Use Only");`. A confirmation message below the code states: 'Rule successfully applied to the editor below.' An 'Apply to Editor' button is visible. A chat bubble from 'You' says: 'This disclosure only applies to Internal materials.' At the bottom of the 'Rule Definition' section, there is a text input field for 'Describe your rule in plain language...' and a 'Generate \*' button.

The 'Rule Editor' section at the bottom shows the generated Java code in a dark-themed editor. The code is: `return "intended_audience".hasAnswer("Internal Use Only");`. A green indicator 'AI Generated' is visible in the top right corner of the editor.

You describe where disclosures are needed, in plain language.

This disclosure only applies to Internal materials.

AI writes the rules for you, based on your custom fields and submission data.

# Compliance – Connectivity

Connect to Red Oak from Claude or with your own custom agents

Tap into the Red Oak workflow and tools from wherever you work

**Connectors**

- Web
  - Atlassian
  - Figma
  - Slack
  - Red Oak**
- Desktop
  - Claude In Chrome INCLUDED
  - Control Chrome
  - PowerPoint (By Anthropic)
  - Word (By Anthropic)
- Not connected
  - AvaTax CUSTOM
  - Docusign
  - GitHub Integration
  - HubSpot
  - Intercom
  - Microsoft 365
  - monday.com
  - n8n
  - Notion

**Red Oak**

Red Oak's MCP Server enables secure, permission-aware access to Compliance and Distribution platforms from external AI tools like Claude. It supports search, summarization, creation, modification, workflow activities, and multi-step actions, helping teams tap into compliant content management wherever they work – all while preserving data privacy and leveraging Red Oak's workflow configurations.

**Tool permissions**

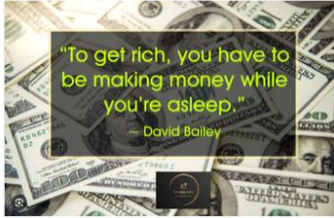
Choose when Claude is allowed to use these tools.

| Tool  | Permission 1 | Permission 2 | Permission 3 |
|---|--------------|--------------|--------------|
| Search for Submission                         | On           | On           | On           |
| Create Submission                             | On           | On           | On           |
| Update Submission                             | On           | On           | On           |
| Transfer Submission Ownership                 | On           | On           | On           |
| Submit for Review                             | On           | On           | On           |
| Add New Revision                              | On           | On           | On           |
| Approve Submission                            | On           | On           | On           |
| Get User, Visibility Profile, User Group Info | On           | On           | On           |
| Get Workflow Diagram                          | On           | On           | On           |

**Market Commentary – December 2025**

### Global Markets Overview

Global markets are roaring with opportunity, as the financial landscape positions itself for what could be an exceptional fourth quarter. Despite some lingering inflation concerns, central banks worldwide are moving closer to the finish line in their tightening cycles, sparking optimism among investors. The Federal Reserve's decision to hold interest rates steady signals confidence in the economy's resilience, while Europe and China are showing early signs of stabilization—setting the stage for a synchronized global rebound.



**Equities**

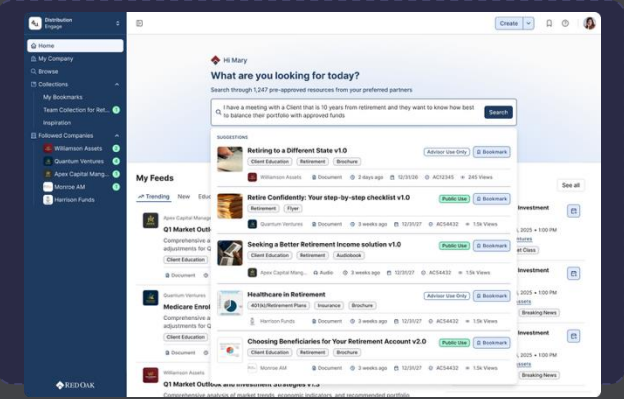
Equity markets are primed for explosive growth. The S&P 500 is consolidating at near-record levels, with only minor pullbacks providing a healthy reset before the next leg higher. Tech giants may have seen slight cooling, but the sector remains a powerhouse, with AI innovation and cloud computing expansion promising blockbuster earnings ahead. Energy and financial stocks are enjoying a resurgence, and the upcoming earnings season is

**AI Agent** (disclaimer check) (Low)  
VISUAL: This page contains at least one data graphic.  
Recommendation: Review this page to ensure any necessary disclosures or disclaimers are included.

**AI Agent** (prohibited 2) (Informational)  
VISUAL: Image of dollar bills with an overlaid quote: 'To get rich, you have to be making money while you're asleep.' The image implies guaranteed wealth accumulation.  
Recommendation: Remove or rephrase the overlay text to avoid the implication of guaranteed wealth accumulation.

# Distribution

## The right content, at the right time and the right place to scale AUM



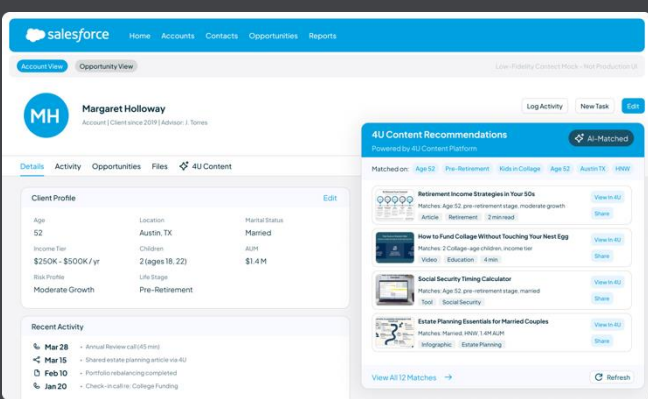
**AI-Driven Content Discovery**

AI-powered discovery and recommendations that surface the right content at the right moment and the right place - boosting visibility and engagement through Search Assist.



**Investment Company Analytics**

Visibility into content volume and time-to-approval to reduce bottlenecks and accelerate distribution, with a path to deeper insights on advisor engagement.



**Connectivity**

Connectivity that meets partners where they are - integrating with the internal tools and external platforms already at the heart of their workflows (ex, driving next best content to use in context).

### KEY BENEFITS

- Marketing driven from content usage insights
- Content sharing/traceability across partners
- Compliance confidence at the point of distribution

# Distribution – AI-Driven Content Discovery

Search that understands what you mean, not just what you type

The screenshot displays the RED OAK Distribution Engage user interface. On the left is a dark blue navigation sidebar with options like Home, My Company, Browse, Collections, My Bookmarks, Team Collection for Ret..., Inspiration, and Followed Companies (listing Williamson Assets, Quantum Ventures, Apex Capital Mang..., Monroe AM, and Harrison Funds). The main content area features a user profile for 'Hi Mary' with a greeting and a search prompt: 'What are you looking for today? Search through 1,247 pre-approved resources from your preferred partners'. A search bar contains the text: 'I have a meeting with a Client that is 10 years from retirement and they want to know how best to balance their portfolio with approved funds'. Below the search bar, a 'SUGGESTIONS' panel displays several relevant content items:

- Retiring to a Different State v1.0** (Advisor Use Only, Bookmark) by Williamson Assets, Document, 2 days ago, 12/31/26, AC12345, 245 Views.
- Retire Confidently: Your step-by-step checklist v1.0** (Public Use, Bookmark) by Quantum Ventures, Document, 3 weeks ago, 12/31/27, AC54432, 1.5k Views.
- Seeking a Better Retirement Income solution v1.0** (Public Use, Bookmark) by Apex Capital Mang..., Audio, 3 weeks ago, 12/31/27, AC54432, 1.5k Views.
- Healthcare in Retirement** (Advisor Use Only, Bookmark) by Harrison Funds, Document, 3 weeks ago, 12/31/27, AC54432, 1.5k Views.
- Choosing Beneficiaries for Your Retirement Account v2.0** (Public Use, Bookmark) by Monroe AM, Document, 3 weeks ago, 12/31/27, AC54432, 1.5k Views.

The interface also shows a 'My Feeds' section with trending content like 'Q1 Market Outlook' and 'Medicare Enrollment'.

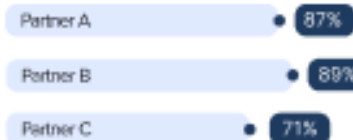
# Distribution – Investment Company Analytics

## Time to Approval Metrics

See exactly how content performs across approval pipeline. Track average time to approval by partner, approval rates, and the top reasons for change requests or rejections to quickly spot delays and recurring issues.

Full Analytics

### Approval Rate By Partner

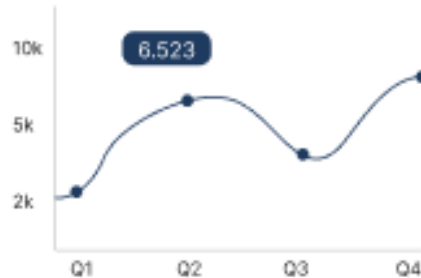


1 Day 2 Days 4 Days

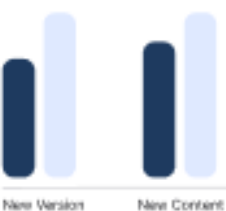
### Change Requests Reason



## Content Made Available Volume Trends



### Total Content by Type



## Volume Metrics

Understand how content volume changes over time with clear trends by period, partner, and content type. See what's driving activity—new content, new versions, or updates - and track approval request submission volumes across partners.

Full Analytics

# Distribution – Integrated Ecosystem

Meet Advisors where they are

Next Best Content based on Advisor client profile data

The screenshot displays a Salesforce CRM interface. At the top, the Salesforce logo and navigation menu (Home, Accounts, Contacts, Opportunities, Reports) are visible. Below the navigation, there are tabs for 'Account View' and 'Opportunity View'. The main content area shows the profile of Margaret Holloway, including her name, account information, and a 'Client Profile' section with fields for Age, Location, Marital Status, Income Tier, Children, and AUM. A sidebar on the right, titled '4U Content Recommendations', lists several articles and videos with 'View In 4U' and 'Share' buttons. A red arrow points from the 'Meet Advisors where they are' text to the Salesforce logo, and another red arrow points from the 'Next Best Content based on Advisor client profile data' text to the '4U Content Recommendations' sidebar.

salesforce Home Accounts Contacts Opportunities Reports

Account View Opportunity View Low-Fidelity Contact Mock - Not Production UI

MH Margaret Holloway Account | Client since 2019 | Advisor: J. Torres Log Activity New Task Edit

Details Activity Opportunities Files 4U Content

Client Profile Edit

| Age                  | Location        | Marital Status |
|----------------------|-----------------|----------------|
| 52                   | Austin, TX      | Married        |
| Income Tier          | Children        | AUM            |
| \$250K - \$500K / yr | 2 (ages 18, 22) | \$1.4 M        |

Recent Activity

- Mar 28 • Annual Review call (45 min)
- Mar 15 • Shared estate planning article via 4U
- Feb 10 • Portfolio rebalancing completed
- Jan 20 • Check-in call re: College Funding

4U Content Recommendations Powered by 4U Content Platform AI-Matched

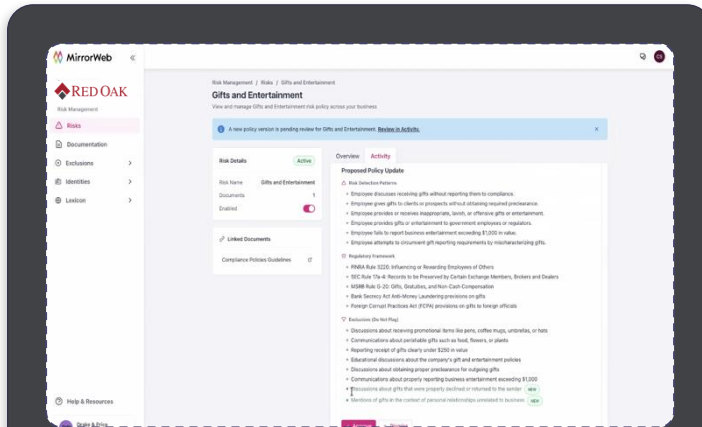
Matched on: Age 52 Pre-Retirement Kids in Collage Age 52 Austin TX HNW

- Retirement Income Strategies in Your 50s View In 4U Share Article Retirement 2 min read
- How to Fund Collage Without Touching Your Nest Egg View In 4U Share Video Education 4 min
- Social Security Timing Calculator View In 4U Share Tool Social Security
- Estate Planning Essentials for Married Couples View In 4U Share Infographic Estate Planning

View All 12 Matches → Refresh

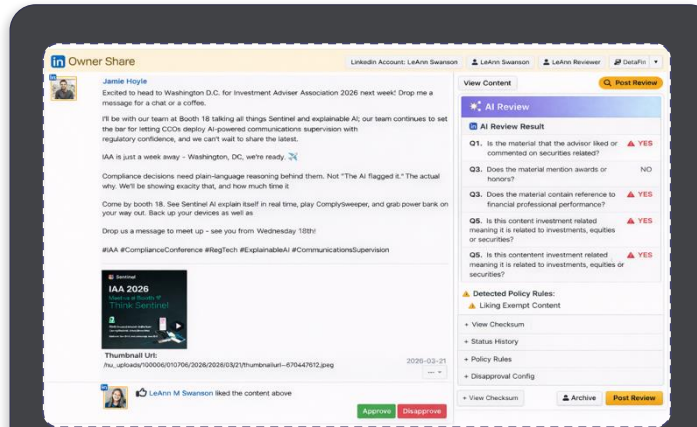
# Supervision

## See the whole story behind every communication



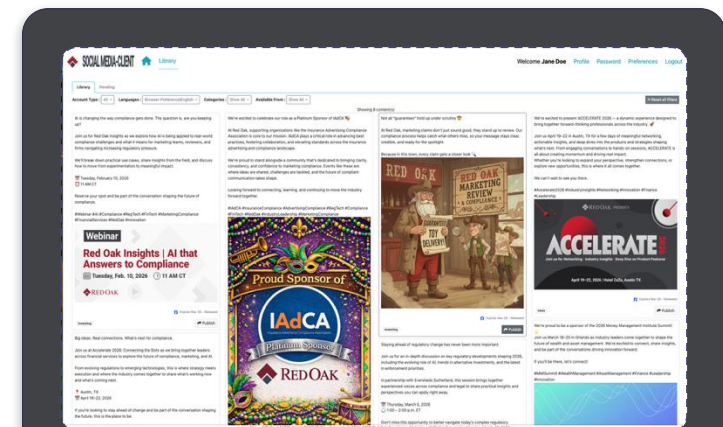
### Mira - The Supervision Agent

Your AI compliance reviewer. Upload your compliance manual and Mira enforces it across every channel. No rule-writing, no months of configuration. Your policies, your language, applied everywhere automatically.



### AI Internet Supervision

Upgraded Internet Supervision capability that collates signals from across the Internet to build a profile for an individual rep. Scout uses Mira for LLM filtering and alerting based on your compliance policy



### Connectivity

Marketers will be able to create and publish preapproved content that flows seamlessly into Red Oak marketing review, with no manual submissions or duplicate entry. Comms attachments checked against approved content

## KEY BENEFITS

- Reduce review volume, time, and reinforce compliance standards.
- Regulatory-grade capturing and archiving
- Defensible end-to-end to audit trail

# Supervision – Mira, The Supervision Agent

## Welcome to Mira

Protect your organisation with automated risk detection powered by AI compliance analysis. Mira continuously monitors your archived communications to identify potential regulatory breaches before they escalate.

Upload your regulatory documentation to create custom detection rules, or start with our library of predefined risk categories covering financial services, technology, and general compliance. Every flagged item includes full context so your team can investigate quickly and take decisive action.

Get started

## How it works

Get up and running in four simple steps

STEP 1

**Upload documentation**  
Import your regulatory policies, compliance manuals, or internal guidelines to establish your compliance baseline.

STEP 2

**Configure risk categories**  
Define what to look for with detection patterns, regulatory frameworks, and exclusion rules tailored to your needs.

STEP 3

**AI-powered monitoring**  
Mira continuously analyses communications across your archived channels to surface potential compliance risks.

STEP 4

**Review and act**  
Investigate flagged items with full context, dismiss false positives, and take action on genuine risks — all in one place.

## Where to start

Mira

I'll help you set up risk monitoring for your organisation. Upload your compliance documentation and I'll analyse it to propose tailored risk categories. You can attach files using the paperclip icon below.

Recommended\_Keywords.xlsx 9.6 KB

Can you upload this document for me?

Analysing your document and identifying risk categories...

The document "Recommended\_Keywords.xlsx" has been uploaded and analyzed. Here are the new risk categories identified from the document:

### New Risk Categories

#### 1. Conflicts of Interest

- Description:** Detects communications indicating potential conflicts of interest in business dealings.
- Examples:**
  - Discussing personal financial interests conflicting with client or firm interests.
  - Receiving or offering gifts that may influence business decisions.

#### 2. Criminal Activity

- Description:** Detects communications indicating potential criminal activity, legal violations, or sanctions.
- Examples:**
  - Planning money laundering activities.
  - Discussing ways to violate financial regulations.

#### 3. Fraud and Deception

- Description:** Detects communications that indicate fraudulent activity, deception, or misrepresentation.

message...

Risk Management / Risks / Gifts and Entertainment

### Gifts and Entertainment

View and manage Gifts and Entertainment risk policy across your business

| Risk Details                                 | Active |
|--|--------|
| Risk Name: Gifts and Entertainment           |        |
| Documents: 1                                 |        |
| Enabled: <input checked="" type="checkbox"/> |        |

Linked Documents

- Compliance\_Policies\_Guidelines.docx

Overview Activity

**Description**

Detects communications about giving or receiving gifts and entertainment that may be inappropriate, lavish, offensive, or provided to government/regulatory employees. Includes reporting requirements for gifts received over \$250 and business entertainment over \$1,000.

**Detection Patterns**

- Discussing inappropriate, lavish, or offensive gifts or entertainment
- Providing gifts or entertainment to government or regulatory employees
- Failing to report gifts received over \$250 in value
- Failing to obtain preclearance for outgoing gifts
- Failing to report business entertainment exceeding \$1,000
- Attempting to circumvent gift reporting requirements for non-exempt items

**Regulatory Framework**

- FINRA Rule 3220: Influencing or Rewarding Employees of Others
- SEC Rule 17a-4: Records to be Preserved by Certain Exchange Members, Brokers and Dealers
- MSRB Rule G-20: Gifts, Gratuities, and Non-Cash Compensation
- Anti-Bribery provisions of the Foreign Corrupt Practices Act (FCPA)
- Bribery Act (18 U.S.C. § 215)

Gifts under \$250 in value that are properly reported

perishable gifts like food, flowers, or plants that are exempt from reporting

promotional items like pens, coffee mugs, umbrellas, or hats that are exempt from reporting

the proper preclearance process for outgoing gifts

business entertainment under \$1,000 in value

Mira learns from reviewer actions, with clearly explainable policies and review routing

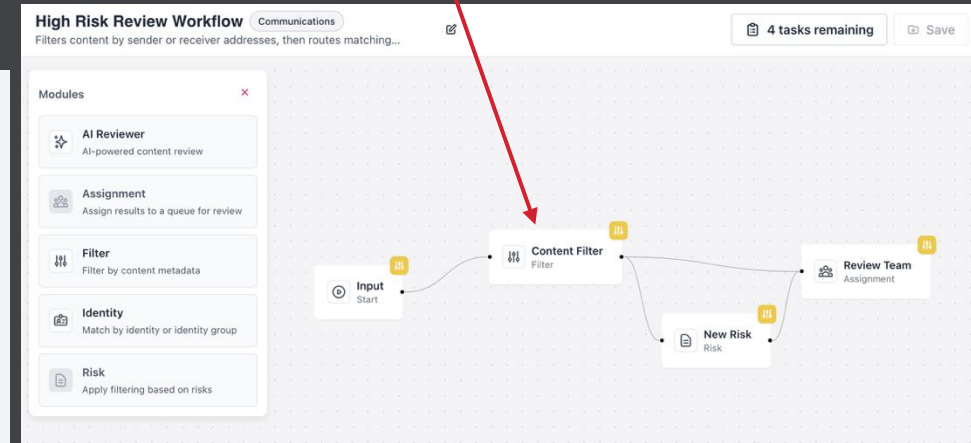
Upload your compliance manual and Mira enforces it across every channel. No rule-writing, no months of configuration. Your policies, your language, applied everywhere automatically.

# Supervision – AI Internet Supervision

Signals across multiple platforms collated as part of an alert, checked against Mira

The screenshot shows an email inbox on the left with 1714 results. The selected email is from 'Re: Preqin - Blocked MirrorWeb' dated 30 Mar 2026 14:47. The main alert area shows a 'Scout Report' for 'Brock Gainsley' with a 'Non-Compliant' status. It lists 2 of 3 signals: 'FINRA BrokerCheck...', 'SEC Probes Oakbridge Financial Over Supervisory Lapses – Financial Times', and 'LinkedIn post by Brock Gainsley'. A 'Mira AI' section indicates that 3 policies were evaluated, with 3 flagged for review. The flagged items include 'Disclosure & Regulatory Filing Review', 'Social Media & Public Activity', and 'Adverse Media Screening'.

Workflows allow routing of the right alerts to the right teams inside your organization (for comms supervision too!)



# Supervision – Compliance Connectivity

New improved marketing submission UI allows content to be created, submitted, and managed within Red Oak, ensuring one workflow for all marketing-related content

Library Marketing

Welcome Sheryl Nobody Profile Password Preferences Logout

Library Usage + Add New

| Account Type             | Name or Approval Id | Categories                   | Available  | Expires    | Language | Content   |
|--------------------------|---------------------|------------------------------|------------|------------|----------|---|
| Accelerate 2026          | ACCL 2026 1         | security events sec          | 04/15/2026 | 08/15/2026 | English  | Here is some great text about the conference and I'm going to submit it to Red Oak for review.                  |
| Happy BIRTHDAY RED OAK   | 2924838243989234    | events sales                 | 02/10/2026 | 02/10/2027 | English  | A stronger-than-expected jobs report for the month of January is likely to cement that the Federal Reserve...   |
| RED OAK AROUND THE...    | 42646546            | events                       | 02/10/2026 | 02/10/2027 | English  | Wrexham_AFC We can confirm that back-to-back-to-back promotion winner Jacob Mendy will join...                  |
| HAPPY HOUR               | 123456789           | events event                 | 02/10/2026 | 02/10/2027 | English  | This is our year to get the Cat-Tat! More and more text here. Wrexham_AFC We can confirm that...                |
| Conference RED OAK       | REDOAK14554         | events                       | 02/10/2026 | 02/10/2027 | English  | Sample-2 gets copied over?  |
| Marketing Piece on wh... |                     | events event                 | 06/08/2025 | 07/10/2026 | English  | Come see us at this event.  |
| Red Oak ROCKS            | 123241              | security                     | 04/22/2025 | 04/22/2026 | English  | Curious where compliance is headed in 2025, and how the most forward-looking firms are preparing? Join...       |
| Happy Hour               | 13423242            | security education           | 04/22/2025 | 04/22/2026 | English  | Join Carta, Alpha FMC, and Red Oak for an evening of conversation, connection, and curated hospitality...       |
| 4u Announcement          | 23324324            | education                    | 04/22/2025 | 04/22/2026 | English  | Red Oak has acquired 4U to create the industry's first Compliance Connectivity Platform! This...                |
| Cathy at Conference      | 3232442             | education events conferences | 04/22/2025 | 04/22/2026 | English  | If you or your team will be at ladca next week, our Co-founder and Chief Customer Officer Cathy Vasilev will... |
| Happy Hour               |                     | events                       | 04/22/2025 | 04/22/2026 | English  | RDC's SIFMA Happy Hour, is gonna be a HOOT!   |
| Fall 2026 Insights       | INS478784           | education articles           | 04/22/2025 | 04/22/2026 | English  | Compliance professionals are high-in-demand right now. What does that mean for your team? To keep high...       |
| Award                    |                     | award                        | 04/22/2025 | 04/22/2026 | English  | We're proud to share that we've been recognized as one of the...  |

Library Details Contents X Close

Name: Happy BIRTHDAY RED OAK Approval Number: 2924838243989234

Notes: This content is for the ability to make customization testing. Use it often!

Available: 02/11/2026 14:39 Expires: 02/11/2027 14:39

Language: English Customizable

Categories: Add category

Cancel Save

419 results Refine Export Save template Save to Vault

Bulk actions...

RE: New investment Show HTML

Peter,

Please find our Q1 2026 prospectus attached. I trust that you will find the historic return data compelling.

Any questions, drop me a text.

Attachments 1

Q1-26 Prospectus.pdf

**Does not match approved content**

Mira says: This document has a Red Oak submission ID, but the performance data does not match the approved PDF. A disclosure is missing on page 13.

View Flags

All attachments checked against Red Oak approved submissions, modified content flagged for review



# Our Vision

**ACCELERATE** 2026

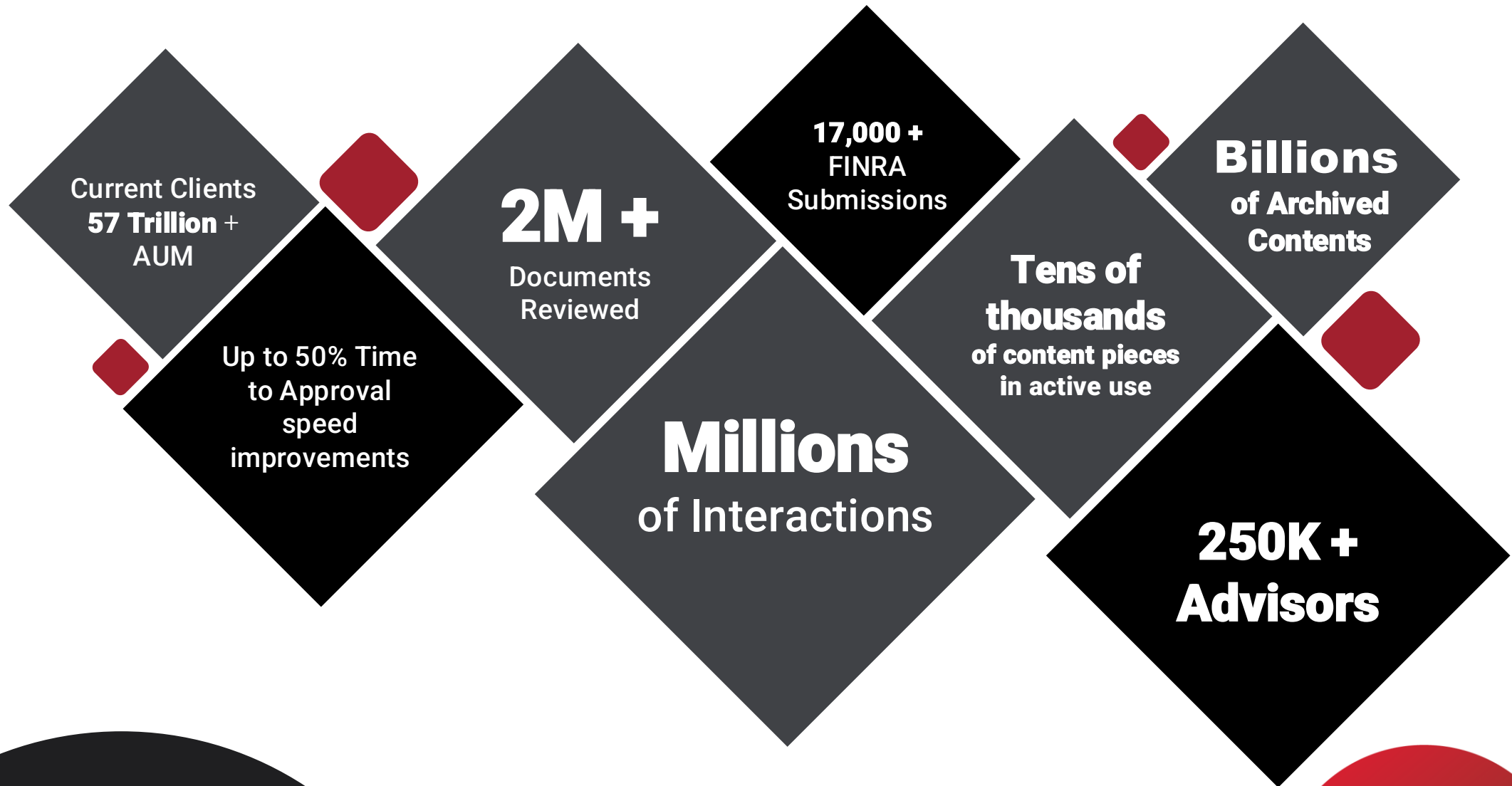


# Red Oak Compliance Connectivity Platform

## Driving AUM Growth



# Proud of Our Scale Together



# THE TIME IS NOW

---

**CONNECT**

48%

-

95%

**ACCELERATE** 2026

# THE TIME IS NOW

---

**CONNECT**

48%  
-  
95%

**AI  
TRANSFORM**

60X

**ACCELERATE** 2026

# THE TIME IS NOW

---

**CONNECT**

48%  
-  
95%

**AI  
TRANSFORM**

60X

**BECOME A  
DESIGN  
PARTNER**

2, 3, 4  
Dozen

# Questions

**ACCELERATE** 2026



**Thank You**

**ACCELERATE** 2026