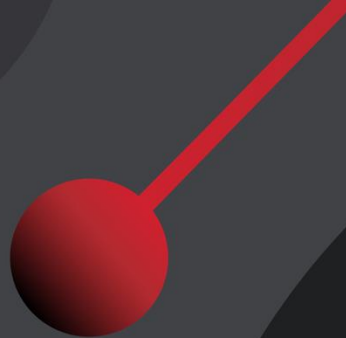




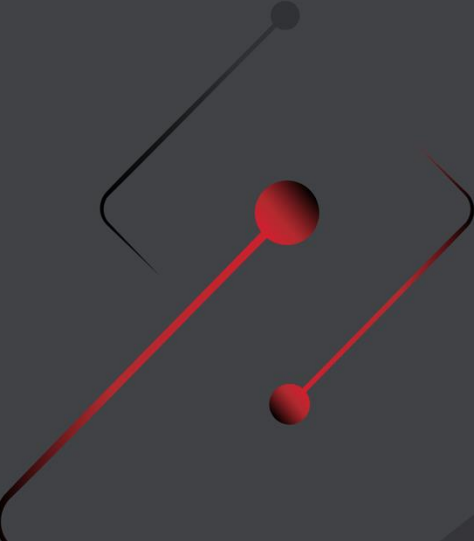
A

26




2026

ACCELERATE



 RED OAK PRESENTS



**Compliance Connectivity
that Unifies Financial Services
from Content to Client**

ACCELERATE 2026

**Kirk
Sadler**

**Chief Product
Officer**



**James
Cella**

**Chief Supervision
Evangelist**



**Mike
Lubansky**

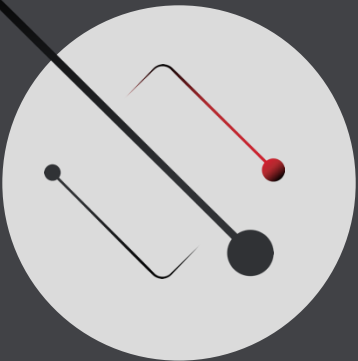
**Senior VP of
Strategy**



**Kirill
Kozlov**

**Senior Product
Manager**

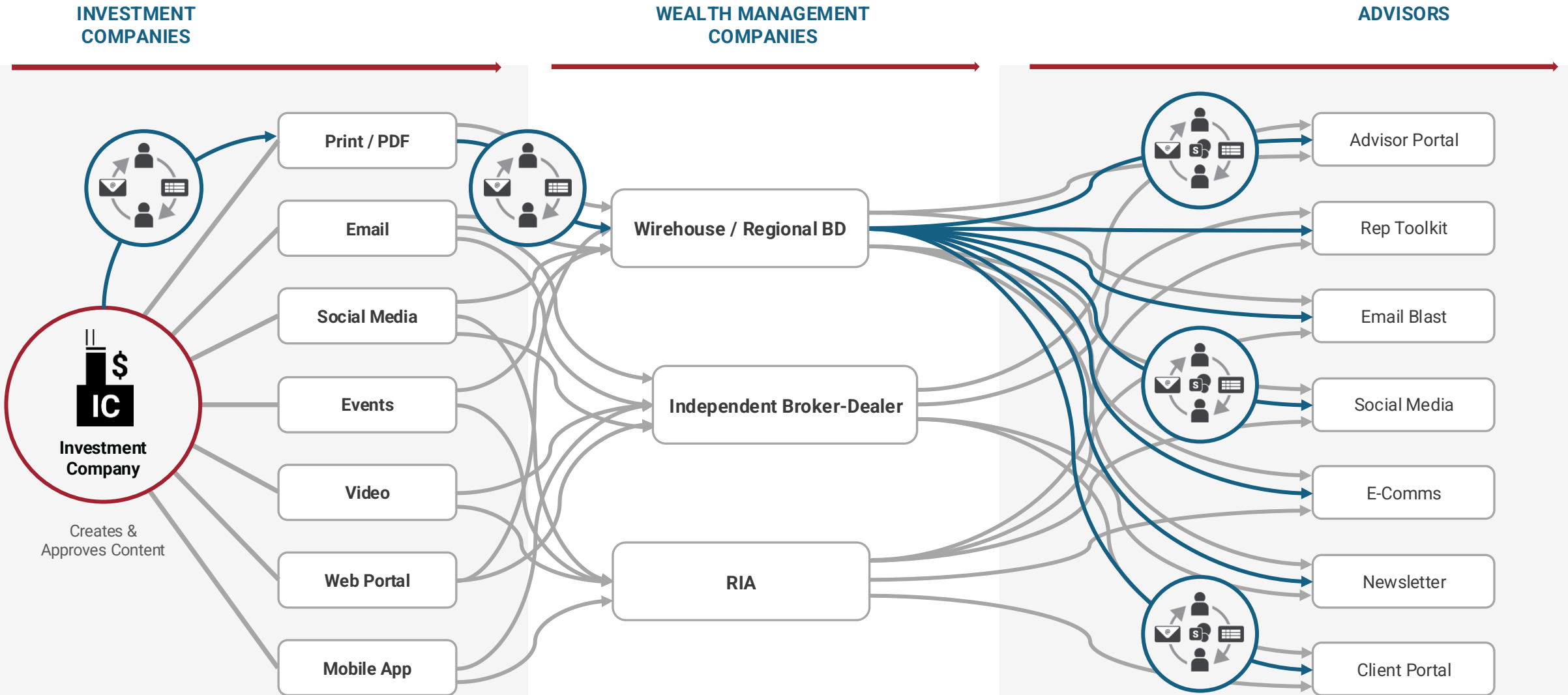




Agenda

- **The Content Labyrinth**
- **The Power of Integration**
- **Compliance Connectivity Platform Walkthrough**
- **Expanding Your Ecosystem**
- **In Closing**

Content Reaches the Market – But Nobody Controls How



Content A to Z: By the Numbers

Revisions

2 - 10

Systems

5 - 12

Dept.

4 - 8

Companies

2 - 6

Integration Definition

The secure, bidirectional exchange of data to complete a workflow (or task) that maintains **regulatory compliance, complete audit trails, and accelerates content to clients** across systems, partners, and departmental boundaries.

Grow AUM, Stay Compliant with Red Oak

1. Create Content

IC Product & Marketing teams create content in DAM/Creative tools to advertise investment products

3. Send Approved One-to-Many WMs

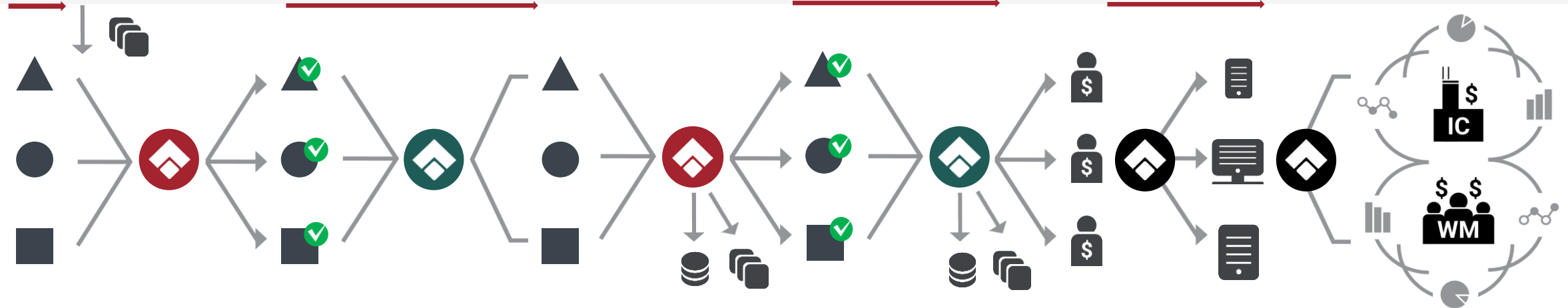
Once approved, material flows into 4U & is directed to multiple WMs

5. WM Content Distribution

WM Compliance approves content for distribution to advisors & external systems / databases

7. Advisor Communication

Advisors personalize client messaging across supervised & archived channels



2. IC Review & Approvals

ICs submit marketing content through Red Oak for IC compliance approval

4. WM Review & Approvals

WMs receive IC content through 4U, which is auto-queued in Red Oak for WM compliance




6. Advisor Discovery

Advisors search, discover & access approved IC content in one hub

8. Analytics & Optimization

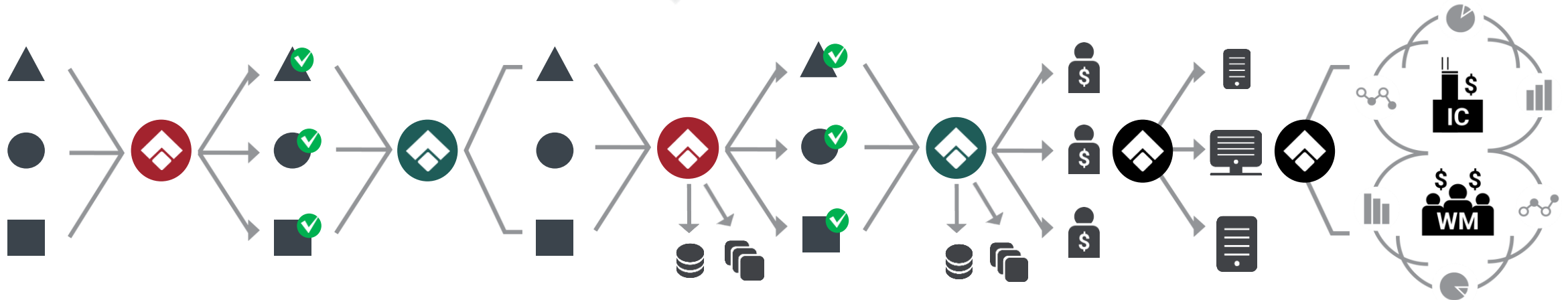
Analytics inform WMs and ICs of trends, opportunities, gaps in offerings & optimization strategies

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

 = Compliance
  = Distribution
  = Supervision

Grow AUM, Stay Compliant with Red Oak

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



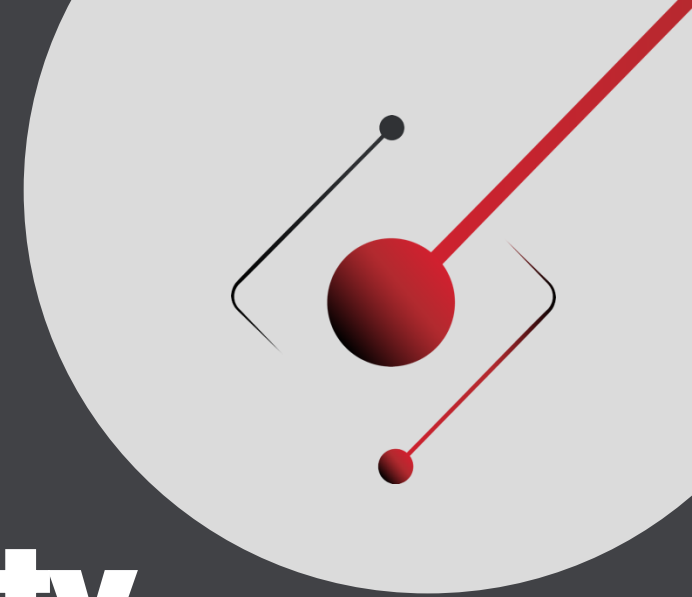
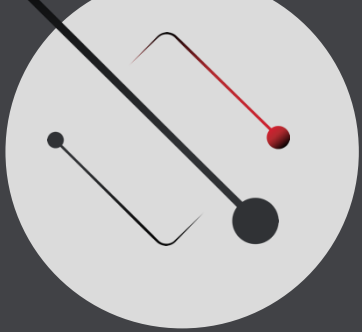
Power recommendations and optimization with exclusive data usage and networked insights

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

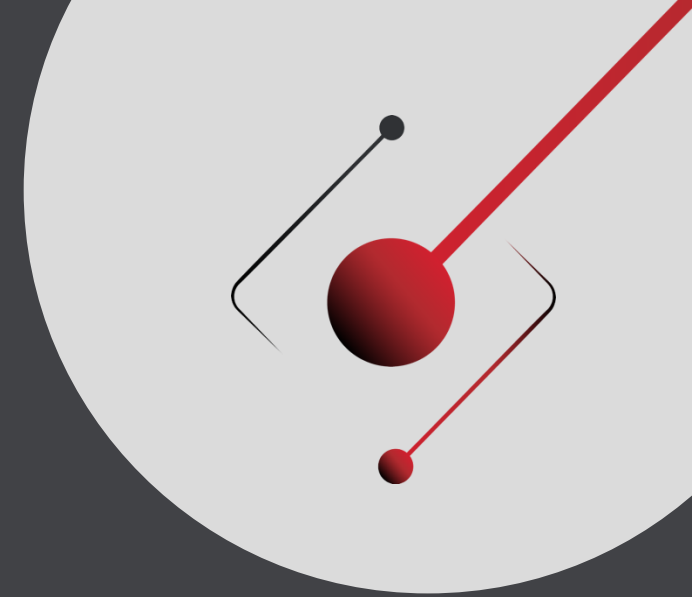
Red Oak logo = Compliance

Green Oak logo = Distribution

Black Oak logo = Supervision



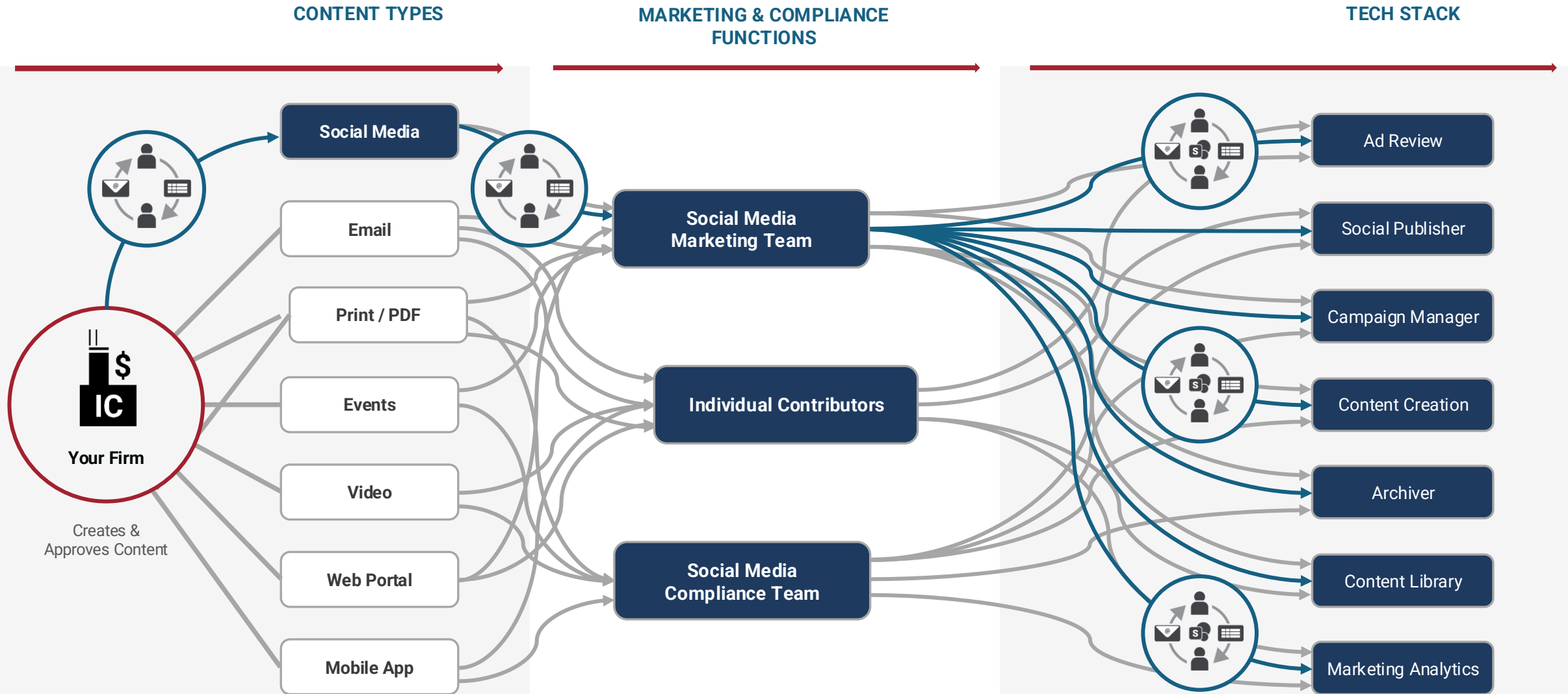
Compliance Connectivity Platform Walkthrough

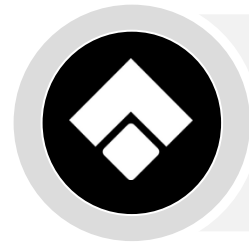


Supervision to Compliance

ACCELERATE 2026

The Manual and Maze-Like Flow of Social Media Content

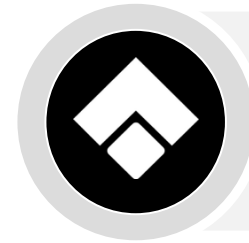




Self Created Content



Clone Library Content



Library Content from Marketing

Join us for a deeper dive on Wednesday at 11am

ACCELERATE 2026

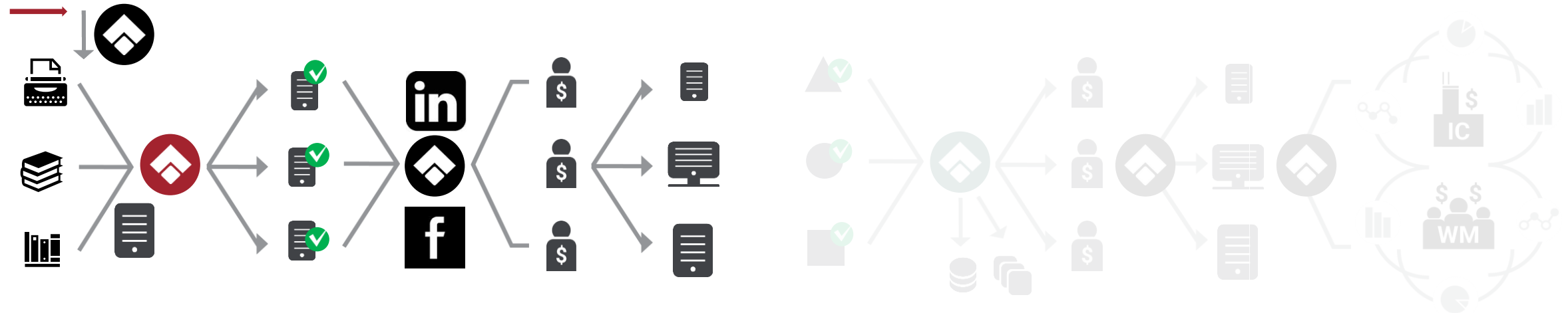
Social Media: Compliant Posts, Supervised & Archived

1. Create Post

Advisor creates social media content in its native form in Red Oak Social Media Compliance platform

3. Publish & Supervise

Approved post published via Red Oak; archived and published to library; no post-review needed






2. Compliance Approval

Post pushed to Red Oak for compliance approval before publication

4. Advisor Discovery

Advisors find & reuse approved social media content in the library

 = Compliance  = Distribution  = Supervision



Submissions

Submissions Scheduled

Account Type All Status Pre Review

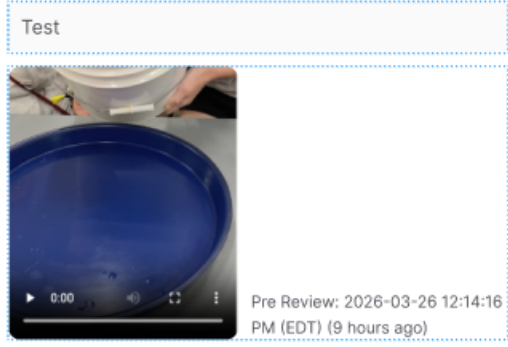
123 Financial - The Money Guys

So excited to invite you to this event. It's going to be really great!

Check us out at <http://redoak.com>



123 Financial - The Money Guys



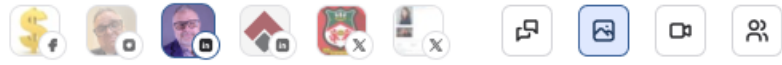
Advisor on Instagram

So excited to invite you to this event. It's going to be really great!

Check us out at <http://redoak.com>

Quick Submission **New Submission**

Choose an Account Choose a Content Type



Drag your file(s) to start uploading or [Browse Files](#)



Message

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Thursday, March 5, 2026 ; 1:00 – 2:00 p.m. ET

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Cancel Save

Accounts Show Inactive

Register An Account



123 Financial - The Money Guys
Added Apr 5, 2025 Active

Advisor on Instagram
Added Apr 5, 2025 Active

James Cella
Added Aug 21, 2025 Active

SiteQuest is now Red Oak Compliance!
Added Aug 21, 2025 Active

Disapproved Profile
James Cella Reviewer (2025-1203)
04:28 PM EST: test

SQCompliance
Added Apr 5, 2025 Active

jamescella
Added Nov 3, 2025 Active

- MONITOR
- Submissions
- ANALYTICS
- Reports
- MANAGE
- Review Groups
- Individuals
- Lexicon
- Workflow Configs
- Rules
- Hierarchies
- Supervision Levels

Submissions

Submissions Schedule

Account Type All Sta

123 Financial - The Money Guys

So excited to invite you to this really great!

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RED OAK Proud Sponsor

123 Financial - The Money Guys

Test

0:00

Advisor on Instagram

So excited to invite you to this really great!

Check us out at <http://redoak.com>

Submission Confirmation

To be Submitted for Review

Comment to Reviewer

Optional comment to reviewer

Publish Now

Date to Publish Publish Alert

Email me when this is published.

Note: The Scheduling feature defaults to your firm's timezone. To change the timezone to reflect your location, visit the Profile link in the upper right corner. On occasion, you may experience delays in scheduled posts due to traffic on the social sites.

Discard if Not Approved

Discard content if not approved before scheduling date. If not checked, content will be published upon approval

What countries is the product / service distributed in?

Does this content reference a specific product?

Does this material contain a link or reshare that directs to third-party material? No Yes

Cancel **Confirm Submission**

Accounts Show Inactive

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Added Aug 21, 2025 Active

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Added Apr 5, 2025 Active

jamescella

Added Nov 3, 2025 Active

Save

Submissions

Manager Functions ▼ + New Submission

All Active (274) Unclaimed (11) Pending Your Action (6) Pending Others Action (4) Most Recent Expiring Completed

Filter by Title, ID Filters Grid Refresh Export File ▼

| ID | Name | Status | Submitter | Submission Type | Department | Submitter Group | Needed By | Current Activity |
|---------|---|--------------------|---------------------|---------------------------|------------|-----------------|--------------------------|-------------------|
| 5342932 | Owner Share: Sally Advisorlady Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Apr 26, 2026 9:33:29 PM | Compliance Review |
| 5336528 | AI Demo Test Marketing and Advertising | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 25, 2026 10:55:05 AM | Compliance Review |
| 5330833 | Video: Sally Advisorlady Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 24, 2026 09:34:05 AM | Compliance Review |
| 5330829 | Instagram Video: Sally Advisorlady Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 24, 2026 09:21:17 AM | Compliance Review |
| 5269565 | Test Submission 3.3.26 Marketing and Advertising | Pending Compliance | Sandy Submitter | Marketing and Advertising | (none) | Submitters | Mar 3, 2026 09:21:17 AM | Compliance Review |
| 4770859 | Test 2.25 Marketing and Advertising | Pending Compliance | Michael Jordan | Marketing and Advertising | (none) | Submitters | Feb 25, 2026 10:17:09 AM | Compliance Review |
| 4734912 | Testing Life Life Insurance Material | Pending Compliance | Cathy Vasilev | Life Insurance Marketing | (none) | Submitters | Sep 26, 2025 9:33:29 PM | Compliance Review |
| 4716354 | AI Demo + Disclosures Marketing and Advertising | Pending Compliance | Shelby Submitsa lot | Marketing and Advertising | (none) | Submitters | Aug 8, 2025 10:19:03 AM | Compliance Review |
| 4610394 | Demo Submission 8.1 Marketing and Advertising | Pending Compliance | Shelby Submitsa | Marketing and Advertising | (none) | Submitters | Aug 1, 2025 11:54:03 AM | Compliance Review |

5342932 - Owner Share: Sally Advisor Lady Pending Compliance Not Approved for Use

- Overview
- Details**
- Comments (0)
- Documents (2)
- Status History (2)
- Activity Log (7)
- Workflow Diagram
- Emails (16)
- Rules (0)

DETAILS Details history

Compliance Review
16/19

Create / Update Submission

Questions and Answers

SMC Submission Information

| | |
|--------------------------------|--|
| 1. Date to Publish | 2026-05-12T03:00:00Z |
| 2. Account Name | LinkedIn Account: James Cella |
| 3. Account Type | LINKED_IN_ACCOUNT |
| 4. Account URL | https://www.linkedin.com/in/jamescella |
| 5. Policy Assignment | FINRA - LI Only |
| 6. Reviewer User Group | Red Oak JH Reviewer |
| 7. User Country | Unanswered |
| 8. Librery Content Submission? | no |
| 9. Attached Link | Unanswered |
| 10. Content ID | 13477622 |
| 11. User CRD Number | Unanswered |
| 12. User Name | Sally Advisorlady |
| 13. User Key Fields | 2Rj8Rx-4510 |
| 14. User Email | jcella@redoak.com |
| 15. Account Token Expiration | 2026-12-03T18:57:38Z |
| 16. Discard if not approved? | no |

SMC User Questions

| | |
|---|-----|
| 17. Does this content reference a specific product? | ETF |
| 18. What countries is the product / service distributed in? | US |

Submissions / 5342932 - Owner Share: Sally Advisor Lady

5342932 - Owner Share: Sally Advisor Lady

Pending Compliance Not Approved for Use

Return to Submitter Approved Withdraw Rejected

Overview Details Comments (0) Documents (2) Status History (3) Activity Log (9) Workflow Diagram Emails (16) Rules (0)

Documents

Materials For Review (1) Supporting Materials (1)

ro-index-1774575149742.pdf Materials For Review

| | | |
|------------------|----------------------------|--------------------|
| File Size | 26 KB | Download |
| # Pages/Minutes | 0 | |
| Lexicon Flags | None | Add New Revision |
| AI Review: | Skipped | View |
| Latest File Name | ro-index-1774575149742.pdf | |
| Uploaded By | SMC API Submitter | |
| Type Of Piece | Social Media Post | |
| Promotion | No | |
| Latest Revision | Mar 26, 2026, 9:33 PM | |
| # Revisions | 1 | Show All Revisions |

Upload New Download All (.ZIP) < >

View Revision - ro-index-1774575149742.pdf - 3/26/26, 9:33 PM

Starting Review Process

Overview | Details | Details History | Comments

| | |
|-------------------------------|------------------------------------|
| Submission ID: | 5342932 |
| Submission Type: | Social Media Review |
| Current Activity: | Compliance Review |
| Current Owner: | James Cella Compliance Reviewers |
| Last Status Date / Time: | Mar 26, 2026, 9:36:46 PM |
| Created: | Mar 26, 2026, 9:33:30 PM |
| Submitted By: | SMC API Submitter Submitters |
| On Behalf of: | SMC API Submitter |
| Need By Date: | Apr 26, 2026, 9:33:29 PM |
| Expiration Date: | Mar 26, 2028, 9:33:29 PM |
| First Transition Date / Time: | Mar 26, 2026, 9:33:35 PM |
| CC Users: | None |
| Assigned Verifiers: | None |
| Assigned Checkpoints: | None |
| Involved Users: | James Cella SMC API Submitter |

Review Panel | 112% | Annotate | Shapes | Fill and Sign

| Content Information | |
|---------------------|---|
| Media Category | IMAGE |
| Written Content | <p>Staying ahead of regulatory change has never been more important.</p> <p>Join us for an in-depth discussion on key regulatory developments shaping 2026, including the evolving role of AI, trends in alternative investments, and the latest in enforcement priorities.</p> <p>In partnership with Eversheds Sutherland, this session brings together experienced voices across compliance and legal to share practical insights and perspectives you can apply right away.</p> <p>Thursday, March 5, 2026 1:00 - 2:00 p.m. ET</p> <p>Don't miss this opportunity to better navigate today's complex regulatory landscape and prepare for what's ahead.</p> <p>#Regulation #Compliance #AI #AlternativeInvestments #Finance #RiskManagement</p> |

Remove hashtags

Annotations (5)

Sort: Position

Page 1

- James Cella Mar 26, 8:37 PM "oin us for an in-depth di"
- James Cella Mar 26, 8:37 PM "6, including the evolving role of AI, trends in alternative investments, and the latest in enforcement pr"
- James Cella Mar 26, 8:37 PM Fix this
- James Cella Mar 26, 8:38 PM "this opportunity to better navigate today's complex regulatory landscape and pr"
- James Cella Mar 26, 8:38 PM Insert text here

Submissions / 5342932 - Owner Share: Sally Advisor Lady

5342932 - Owner Share: Sally Advisor Lady

Pending Compliance Not Approved for Use

Return to Submitter Approved Withdraw Rejected

Overview Details Comments (0) Documents (2) Status History (3) Activity Log (9) Workflow Diagram Emails (16) Rules (0)

Documents

Materials For Review

ro-index-177457

| | |
|------------------|-----------|
| File Size | 26 KB |
| # Pages/Minutes | 0 |
| Lexicon Flags | ... |
| AI Review: | Skipped |
| Latest File Name | ro-ind... |
| Uploaded By | SM... |
| Type Of Piece | Social |
| Promotion | No |
| Latest Revision | Mar 2... |
| # Revisions | 1 |

Upload New Download All (.ZIP) < >

Return to Submitter Changes Required (Target: Sbumitter)

Comment Internal? Paste from Scratchpad

B *i* U **A** **AA**

?

Please make the following fixes.

Cancel **Next**

Submissions

Submissions Scheduled

Account Type All Status Pre Review


James Cella

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[View All](#)




Pre Review: 2026-03-26 12:14:16 PM (EDT) (9 hours ago)

123 Financial - The Money Guys

So excited to invite you to this event. It's going to be really great!

Check us out at <http://redoak.com>




Pre Review: 2026-03-26 12:14:16 PM (EDT) (9 hours ago)

123 Financial - The Money Guys

Test

Quick Submission New Submission **Details**

[Edit](#) [Withdraw](#) [Comment to Reviewer](#) [Scheduling](#) [Discard](#) [Cancel](#)



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Pre Review: 2026-03-26 09:32:04 PM (EDT) (17 minutes ago)

Date to publish: 2026-05-11 11:00:00 PM (EDT) (May 11)

Scheduling Details

Date to publish: 2026-05-11 11:00:00 PM (EDT) (May 11)

Publish Alert: No email alerts will be sent.

Discard if not approved: No, content will wait until approval to be published.

Status History

Created: 17 minutes ago 2026-03-26 09:32:04 PM (EDT)

Pre Review: 17 minutes ago by **James Cella**, 2026-03-26 09:32:04 PM (EDT)

Reviewer / User Dialogue

Red oak JH Reviewer at 2026-03-26 09:32:38 PM (EDT) said:

Accounts Show Inactive

Register An Account

[f](#) [X](#) [in](#) [v](#)

123 Financial - The Money Guys

Added Apr 5, 2025 Active

Advisor on Instagram

Added Apr 5, 2025 Active

James Cella

Added Aug 21, 2025 Active

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Added Aug 21, 2025 Active

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- Supervision Levels

Library

Account Type (All) Languages (English) Categories(All) Available From (All) Reset all filters

Red Oak visited Paris



Expires Dec 4 - Released

Marketing

Customize Publish

Join Carta, Alpha FMC, and Red Oak for an evening of conversation, connection, and curated hospitality in Midtown Manhattan.

Hosted at Valerie, an elegant venue in the heart of NYC, this gathering brings together leaders across compliance, legal, and venture capital for meaningful networking in a relaxed, upscale setting.

If you're in town, we'd love for you to join us. RSVP here:

Red Oak has acquired 4U to create the industry's first Compliance Connectivity Platform!

This collaboration eliminates inefficiencies, accelerates content approvals, and improves engagement, all while ensuring enhanced regulatory confidence for Investment Companies and Wealth Management firms. From compliance review to compliant distribution, everything is now connected.

<https://lnkd.in/gA7-XyNB>

Join us at our upcoming User Conference to learn exactly what this means for your firm.

hashtag#ComplianceConnectivity
hashtag#RedOakAcquires4U hashtag#FinTe



Branching Out
Deepening Roots
Expanding Horizons

Expires Dec 4 - Released

Education

If you or your team will be at IAdCA next week, our Co-founder and Chief Customer Officer Cathy Vasilev will be speaking on AI in advertising review!

She'll explore the role of AI, risks, and benefits, including:

1. Identifying misleading ad content
2. Reducing false positives
3. Efficiency improvements
4. Compliance verification

We hope to see you in Charleston!

hashtag#IadCA hashtag#compliance
hashtag#rocstar



Expires Dec 4 - Released

Education Events Conferences

Customize Publish



We're proud to share that we've been recognized

ROC's SIFMA Happy Hour, is gonna be a HOOT! 🦉

If you're in town for the SIFMA conference, we'd love you to stop by our Happy Hour full of shenanigans on Monday, March 24 at 7:30 PM CST at Cooper's BBQ. Delicious Texas barbecue, free drinks, and casual networking after a long day of conference sessions is sure to spice things up.

Sign up below and don't forget to add the event to your calendar!

<https://lnkd.in/gA7-XyNB>

| BEFORE HAPPY HOUR | AFTER HAPPY HOUR |
|---|---|
|  |  |

Expires Dec 4 - Released

Events

Customize Publish

Compliance professionals are high-in-demand right now. What does that mean for your team? To keep high-quality team members on board, you must provide resources that allow them to succeed and grow.

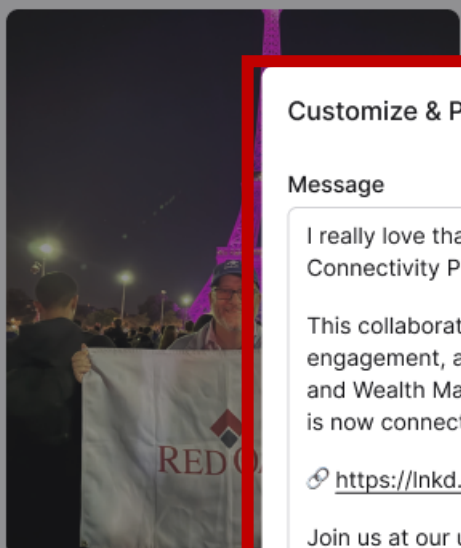
That's where Red Oak comes in. Using our tools reduces low-level, repetitive work for your team and frees them up to handle higher-priority, strategic responsibilities. Ready to learn more? #compliance #complianceofficers #regtech

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Customize

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hashtag#ComplianceConnectivity hashtag#RedOakAcquires4U hashtag#FinTe

583 / 2600

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ce

eston, SC

and Sponsor of

Cathy Vasilev
Co-Founder, Chief Customer Officer

Expires Dec 4 - Released

Education Events Conferences

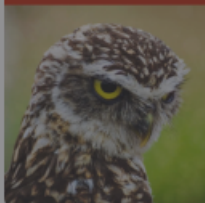

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| BEFORE HAPPY HOUR | AFTER HAPPY HOUR |
|---|---|
|  |  |

Expires Dec 4 - Released

Events

Customize Publish

Customize & Publish

Message

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Cancel Next

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Deepening Roots
Expanding Horizons

Expires Dec 4 - Released

Education

Cathy Vasilev
Co-Founder, Chief Customer Officer

Expires Dec 4 - Released

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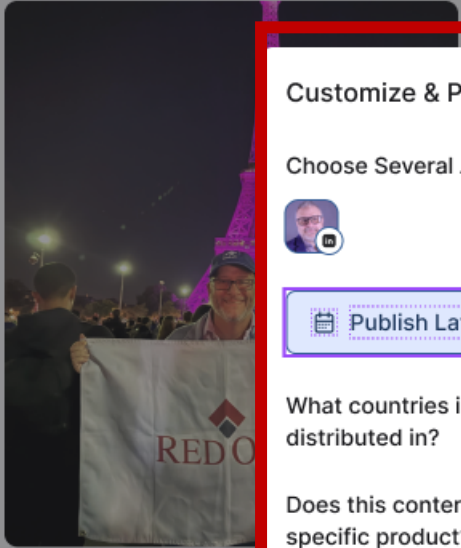
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- Supervision Levels

Library

Account Type (All) Languages (English) Categories(All) Available From (All) Reset all filters

Red Oak visited Paris




Expires Dec 4 - Released

Marketing

Customize

Red Oak has acquired 4U to create the industry's first Compliance Connectivity Platform!

This collaboration eliminates inefficiencies



Expires Dec 4 - Released

Education

If you or your team will be at ladca next week, our Co-founder and Chief Customer Officer Cathy Vasiley will be speaking on AI in advertising review!

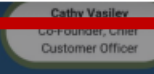
and benefits,

ent

nce

leston, SC

Prud. Sponsor of



Expires Dec 4 - Released

Education Events Conferences



Customize Publish

ROC's SIFMA Happy Hour, is gonna be a HOOT! 🦉

If you're in town for the SIFMA conference, we'd love you to stop by our Happy Hour full of shenanigans on Monday, March 24 at 7:30 PM CST at Cooper's BBQ. Delicious Texas barbecue, free drinks, and casual networking after a long day of conference sessions is sure to spice things up.

Sign up below and don't forget to add the event to your calendar!

<https://lnkd.in/gA7-XyNB>

| BEFORE HAPPY HOUR | AFTER HAPPY HOUR |
|---|---|
|  |  |


Expires Dec 4 - Released

Events

Customize Publish

Customize & Publish

Choose Several Accounts



Publish Later

What countries is the product / service distributed in?

Does this content reference a specific product?

Does this material contain a link or reshare that directs to third-party material? No Yes

Cancel Back **Next**

Join Carta, Alpha FMC, and ... evening of conversation, connection, and service hospitality in Midtown Manhattan.

Hosted at Valerie, an elegant venue in the heart of NYC, this gathering brings together leaders across compliance, legal, and venture capital for meaningful networking in a relaxed, upscale setting.

If you're in town, we'd love for you to join us. RSVP here:

Branching Out
Deepening Roots
Expanding Horizons

Expires Dec 4 - Released

Education

Expires Dec 4 - Released

Education Events Conferences

Customize Publish

Compliance professionals are high-in-demand right now. What does that mean for your team? To keep high-quality team members on board, you must provide resources that allow them to succeed and grow.

That's where Red Oak comes in. Using our tools reduces low-level, repetitive work for your team and frees them up to handle higher-priority, strategic responsibilities. Ready to learn more? #compliance #complianceofficers #regtech

Submissions

Manager Functions ▼ + New Submission

All Active (274) Unclaimed (11) Pending Your Action (6) Pending Others Action (4) Most Recent Expiring Completed

Filter by Title, ID Filters Export File

| ID | Name | Status | Submitter | Submission Type | Department | Submitter Group | Needed By | Current Activity |
|---------|--|--------------------|---------------------|---------------------------|------------|-----------------|--------------------------|-------------------|
| 5342932 | <u>Owner Share: Sally Advisorlady</u> Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Apr 26, 2026 9:33:29 PM | Compliance Review |
| 5336528 | <u>AI Demo Test</u> Marketing and Advertising | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 25, 2026 10:55:05 AM | Compliance Review |
| 5330833 | <u>Video: Sally Advisorlady</u> Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 24, 2026 09:34:05 AM | Compliance Review |
| 5330829 | <u>Instagram Video: Sally Advisorlady</u> Social Media Review | Pending Compliance | SMC API Submitter | Social Media Review | (none) | Submitters | Mar 24, 2026 09:21:17 AM | Compliance Review |
| 5269565 | <u>Test Submission 3.3.26</u> Marketing and Advertising | Pending Compliance | Sandy Submitter | Marketing and Advertising | (none) | Submitters | Mar 3, 2026 09:21:17 AM | Compliance Review |
| 4770859 | <u>Test 2.25</u> Marketing and Advertising | Pending Compliance | Michael Jordan | Marketing and Advertising | (none) | Submitters | Feb 25, 2026 10:17:09 AM | Compliance Review |
| 4734912 | <u>Testing Life</u> Life Insurance Material | Pending Compliance | Cathy Vasilev | Life Insurance Marketing | (none) | Submitters | Sep 26, 2025 9:33:29 PM | Compliance Review |
| 4716354 | <u>AI Demo + Disclosures</u> Marketing and Advertising | Pending Compliance | Shelby Submitsa lot | Marketing and Advertising | (none) | Submitters | Aug 8, 2025 10:19:03 AM | Compliance Review |
| 4610394 | <u>Demo Submission 8.1</u> Marketing and Advertising | Pending Compliance | Shelby Submitsa | Marketing and Advertising | (none) | Submitters | Aug 1, 2025 11:54:03 AM | Compliance Review |

Submissions / 5342932 - Owner Share: Sally Advisor Lady

5342932 - Owner Share: Sally Advisor Lady

Pending Compliance

Not Approved for Use

Return to Submitter Approved Withdraw Rejected

Overview Details Comments (0) Documents (2) Status History (3) Activity Log (9) Workflow Diagram Emails (16) Rules (0)

Documents

Materials For Review (1) Supporting Materials (1)

ro-index-1774575149742.pdf Materials For Review

| | | | |
|---------------------------------|--------------------------------------|--------------------------|----------------------------------|
| File Size | 26 KB | Download | |
| # Pages/Minutes | 0 | | |
| Lexicon Flags | None | | Add New Revision |
| AI Review: | Skipped | | View |
| Latest File Name | ro-index-1774575149742.pdf | | |
| Uploaded By | SMC API Submitter | | |
| Type Of Piece | Social Media Post | | |
| Promotion | No | | |
| Latest Revision | Mar 26, 2026, 9:33 PM | | |
| # Revisions | 1 Show All Revisions | | |

Upload New Download All (.ZIP) < >

View Revision - ro-index-1774575149742.pdf - 3/26/26, 9:33 PM

Starting Review Process

Overview | Details | Details History | Comments

| | |
|-------------------------------|------------------------------------|
| Submission ID: | 5342932 |
| Submission Type: | Social Media Review |
| Current Activity: | Compliance Review |
| Current Owner: | James Cella Compliance Reviewers |
| Last Status Date / Time: | Mar 26, 2026, 9:36:46 PM |
| Created: | Mar 26, 2026, 9:33:30 PM |
| Submitted By: | SMC API Submitter Submitters |
| On Behalf of: | SMC API Submitter |
| Need By Date: | Apr 26, 2026, 9:33:29 PM |
| Expiration Date: | Mar 26, 2028, 9:33:29 PM |
| First Transition Date / Time: | Mar 26, 2026, 9:33:35 PM |
| CC Users: | None |
| Assigned Verifiers: | None |
| Assigned Checkpoints: | None |
| Involved Users: | James Cella SMC API Submitter |

Toggle Review Panel | 212% | View

| | |
|------------------------|--|
| Written Content | <p>and improves engagement, all while ensuring enhanced regulatory confidence for Investment Companies and Wealth Management firms. From compliance review to compliant marketing, everything is now connected.</p> <p>https://lnkd.in/gA7-XyNB</p> <p>Join us at our upcoming User Conference to learn exactly what this means for your firm.</p> <p>hashtag#ComplianceConnectivity hashtag#RedOakAcquires4U hashtag#FinTo</p> |
| Customizations | <p>I really love that Red Oak has acquired 4U to create the industry's first Compliance Connectivity Platform!</p> <p>This collaboration eliminates inefficiencies, accelerates content approvals, and improves engagement, all while ensuring enhanced regulatory confidence for Investment Companies and Wealth Management firms. From compliance review to compliant distribution marketing, everything is now connected.</p> |

Submissions / 5342932 - Owner Share: Sally Advisor Lady

5342932 - Owner Share: Sally Advisor Lady

Pending Compliance

Not Approved for Use

Return to Submitter

Approved

Withdraw

Rejected

Overview Details Comments (0) Documents (2) Status History (3) Activity Log (9) Workflow Diagram Emails (16) Rules (0)

Documents

Materials For Review

ro-index-177457

| | |
|------------------|---------|
| File Size | 26 KB |
| # Pages/Minutes | 0 |
| Lexicon Flags | PF N |
| AI Review: | Skipped |
| Latest File Name | ro-ind |
| Uploaded By | SM |
| Type Of Piece | Social |
| Promotion | No |
| Latest Revision | Mar 2 |
| # Revisions | 1 |

Upload New

Download All (.ZIP)

Navigation arrows

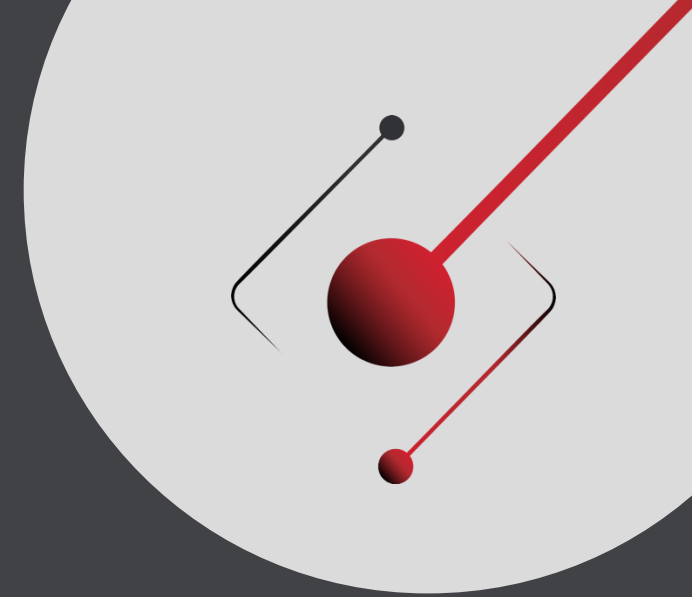
Return to Submitter Changes Required (Target: Sbumitter)

Comment Internal? [Paste from Scratchpad](#)

B *i* U **A** **AA**

Please make the following fixes.

[Cancel](#) [Next](#)



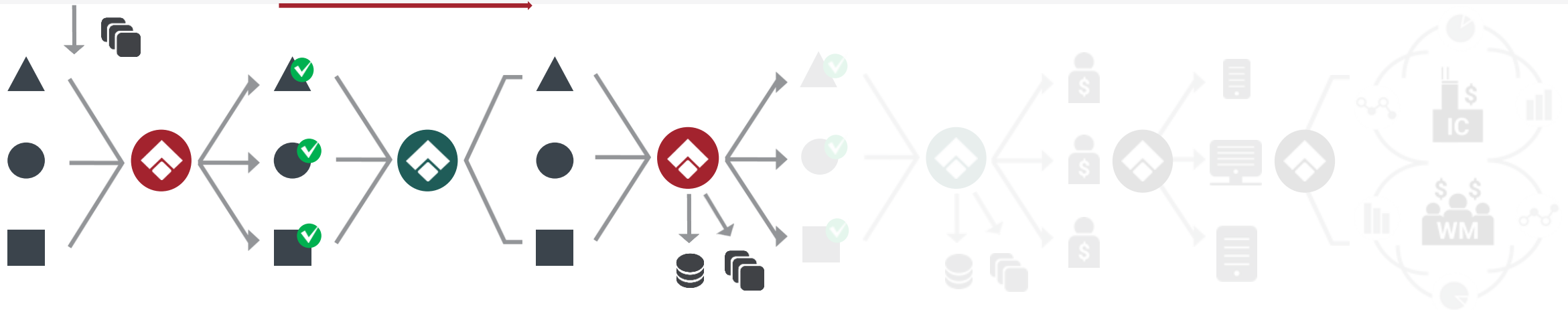
Compliance to Distribution

ACCELERATE 2026

Streamlined Compliant Product Partner Content Approval

2. Send Approved One-to-Many WMs

Once approved, material flows into 4U & is directed to multiple WMs



1. IC Review & Approvals

ICs submit marketing content through Red Oak for IC compliance approval-automatically pushes to 4U

3. WM Review & Approvals

WMs receive IC content through 4U, which is auto-queued in Red Oak for WM compliance

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

🏠 = Compliance 🏠 = Distribution 🏠 = Supervision

Introducing Send to 4U “The Easy Button”

- Creates a persistent link between a Red Oak compliance record and the corresponding 4U content version
- Syncs document and metadata from Red Oak to 4U at the moment of push
- Enables subsequent updates to flow automatically:
FINRA letters, ADA-compliant versions, content record updates, and more
- Tested with Investment Companies – Expansion to Wealth Managers underway

See it in Action

Tenant - Environment

Approved Approved For Use

Activity Log (171) Workflow Diagram Emails (16) Rules (4)

Upload New Download All (.ZIP)

Large Cap Growth Fund Fact Sheet Q1 2026 Materials For Review

| | | |
|------------------|----------------------------|--|
| File Size | 209 KB | Download |
| # Pages/Minutes | 0 | View |
| Lexicon Flags | None | 4U Send to 4U |
| 4U Content Link: | View In 4U | FINRA Letter Received Review result: OK View Response Letter |
| Latest File Name | Fact Sheet LCG Q1 2026.pdf | |
| Uploaded By | Allan AllRoles | |
| Type Of Piece | Fact Sheet | |
| Promotion | No | |
| Latest Revision | 04/04/2026, 10:15 AM | |
| # Revisions | 1 Show All Revisions | |

< Previous 1 Next >

What's Happening Under the Hood

When a Red Oak user clicks Send to 4U, a binding is established between the Red Oak document and the 4U content versions.

Document metadata — approver, content type, expiration date, FINRA filing status — syncs automatically.

Future updates follow the same path, eliminating manual re-entry across systems.

Approve Content – Initiate Sending to 4U

The screenshot displays the RedOak Compliance Workflows interface. On the left is a dark blue sidebar with navigation options: Compliance Workflows, WORKFLOW (Submissions, Search, Library), ANALYTICS (Reports), and MANAGE (Submission Types, Questions, Fieldsets, Comment Templates, Entities, Rules, AI Review, Lexicon, Disclosure Tools). The main content area shows a submission titled "5116727 - User Conference Fact Sheet Demo" with a "Completed" status. At the top right, there are buttons for "Approved" and "Approved For Use", both highlighted with a red box. Below this, a "Documents" section lists two items: "User Conference Fact Sheet Demo" and "Large Cap Growth Fund Fact Sheet Q1 2026". Each document card includes metadata (File Size, # Pages/Minutes, Lexicon Flags, Latest File Name, Uploaded By, Type Of Piece, Promotion, Latest Revision, # Revisions) and action buttons: "Download", "View", and "Send to 4U". The "Send to 4U" button for the second document is highlighted with a red box. A green box on the second document card indicates "FINRA Letter Received Review result: OK" with a "View Response Letter" button. At the bottom, there are pagination controls for "Entries per page" (10, 25, 50) and "Page 1 of 1".

The “Easy Button”

Two Paths

Send to 4U ×

How would you like to proceed?

Cancel

Send to 4U ×

Send the selected document to the 4U System for processing and review.

Document

Select 4U Company*

Back

Send to 4U ×

Search for a 4U Content to link this document to.

Document

Provider Ref Code:*

1 Content Records were found in 4U.
Please select which content you would like to update

Back

Send to 4U - Create New Content Record or Update Existing

On Updating Existing Content, Auto-Scan the “Lit Code”

20260227-8367-12260

Redwood Strategic Income Fund
Institutional Class | Ticker: **RSIFX** | CUSIP: 99999X999
Fact sheet | As of March 6, 2026 | Category: Intermediate Core-Plus Bond

Investment objective
Seeks to provide a high level of current income with capital preservation as a secondary objective.

Investment approach
Actively managed, diversified bond portfolio that blends U.S. government and agency mortgage exposure with investment-grade credit and selective non-investment-grade sectors. Duration and sector exposures are managed within a risk-budgeted framework relative to the benchmark.

Key facts

| | | | |
|-------------------|------------|-------------------|--|
| NAV | \$12.84 | Net assets | \$4.2B |
| Net expense ratio | 0.42% | Turnover (annual) | 68% |
| Inception date | 01/15/2014 | Benchmark | Bloomberg U.S. Aggregate Bond Index (Total Return) |

Performance (total return)


| | YTD | 1 Yr | 3 Yr | 5 Yr | 10 Yr | Since inception |
|-----------|-------|-------|-------|-------|-------|-----------------|
| Fund | 1.12% | 5.48% | 3.21% | 3.74% | 3.98% | 4.06% |
| Benchmark | 0.96% | 4.92% | 2.87% | 3.12% | 3.41% | 3.55% |


Average annual returns shown for periods greater than one year. Past performance is not a guarantee of future results.

20260227-8367-12260

“Lit Code” ties to Provider Ref Code, creates persistent link

Content Sent to 4U | SSO to 4U

 **Large Cap Growth Fund Fact Sheet Q1 2026** Materials For Review ...

| | |
|------------------|--|
| File Size | 209 KB |
| # Pages/Minutes | 0 |
| Lexicon Flags | None |
| 4U Content Link: | Processing file in 4U... ✨ |
| Latest File Name | Fact Sheet LCG Q1 2026.pdf |
| Uploaded By |  Allan AllRoles 🔗 |
| Type Of Piece | Fact Sheet |
| Promotion | No |
| Latest Revision | 04/04/2026, 10:15 AM |
| # Revisions | 1 🔍 Show All Revisions |

[Download](#)

[View](#)

[4u. Send to 4U](#)

FINRA Letter Received
Review result: OK

[View Response Letter](#)

Upon processing, Content Link is available to go directly to the 4U draft

Go Directly to the Newly Created Draft Content Version

The screenshot displays the 'Distribution Connect' interface. On the left is a dark blue sidebar with navigation options: 'Content Records' (highlighted), 'Approval Requests', 'Engagement', and 'Contacts'. The main area shows a 'New Content (v1.0)' draft with the title 'Washington fund - emerging markets corporate bond'. Below the title is a preview of a report titled 'Financial Advisory Services'. To the right of the preview is a metadata panel with the following sections:

- Assigned To**: Team* (Choose Team), Assignee* (Choose Assignee)
- Origin Details** (highlighted with a red box):
 - Upload Method: Individual Record
 - Upload Source: Red Oak Connector
 - Submission ID: [516727](#)
- Content Details**: Testing (IC) (Non-Prod), Provider Ref Code* (Enter Ref Code)

Content Record available in draft with metadata,
and link back to Red Oak submission

Toggle to see content that has a newer draft available

The screenshot displays the 'Content Records' page in the 4U Distribution Connect system. A red box highlights the toggle 'Show content with newer drafts only', which is currently turned on. The interface includes a search bar, a sidebar with navigation options, and a table of content records. The table has columns for Type, Title, Content Format, Status, Partner Permission, Category, Last Action By, and 4U Engage Tags. The first six records in the table have a 'Content Expired' status and a '+6' tag, indicating newer drafts are available.

| Type Origin | Title ID Provider Ref Code | Content Format | Status As of Expiration | Partner Permission Product Team | Category Subcategory | Last Action By Assigned To | 4U Engage Tags |
|---------------|---|-----------------|------------------------------------|---------------------------------|-------------------------|----------------------------|-------------------|
| D INT | Target date funds - Q2 Draft v7.0 13311 CFLPTT | Presentation | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Product Mutual funds | API Client Unassigned | Not Applic - |
| D INT | Washington fund - emerging... Draft v7.0 108732 75WHO | Seminar | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Product Offshore funds | API Client Unassigned | Not Applic - |
| D INT | Doc 2908_2 Draft v7.0 13311 CFLWEE | Article reprint | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Product Mutual funds | API Client Unassigned | Not Applic 4 tags |
| D INT | Presentation Draft v7.0 108164 NA4760823 | Flyer | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Product Offshore funds | API Client Unassigned | Not Applic - |
| D INT | Advisor email (v1.0) Draft v7.0 13311 CFLPTT | Commentary | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Client Market education | API Client Unassigned | Not Applic 1 tag |
| D INT | Personalized managed accou... Draft v7.0 108732 75WHO | Presentation | Content Expired 17/27/26 1/30/26 | 1 3 5 2 +6 Mutual funds | Insights EFTs | API Client Unassigned | Not Applic - |

Easy filtering to see if the content record was originated via “Integration”

Built for How Firms Actually Work

Metadata Mapping

Metadata Mapping Phase 1 maps document and submission metadata from Red Oak to 4U, ensuring the right information travels with every piece of content

Content Record Continuity

The integration understands how firms track content quarter over quarter.

Recurring documents like fact sheets maintain continuity across versions.

A Tip for Firms

If you use lit codes or similar identifiers on recurring documents, now is the time to apply them consistently.

This enables automated content record updates each quarter – no manual re-linking required.

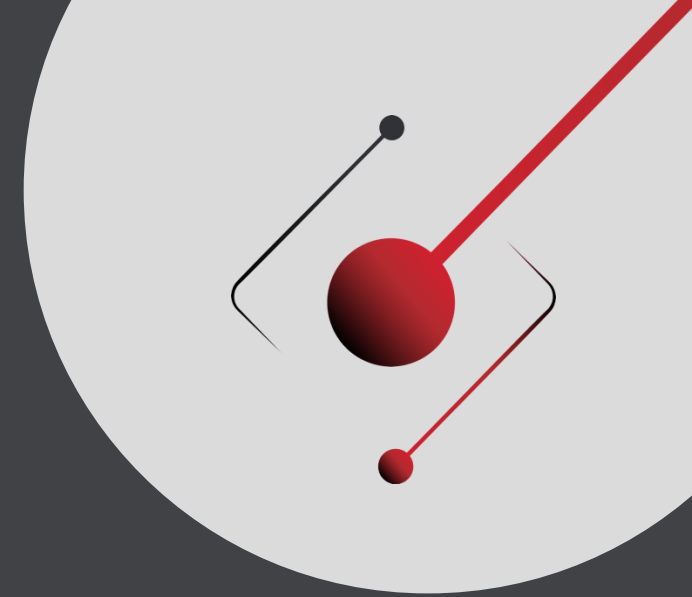
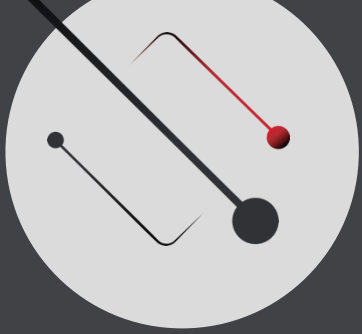
Portfolio Snapshot

| Asset Class | Target Allocation Range | Performance (Gross) * | 1Y |
|---------------------|-------------------------|-----------------------|-------|
| Global Equities | 35–55% | Annualized Return | 8.2% |
| Core Fixed Income | 25–45% | Annualized Volatility | 10.5% |
| Credit / Income | 5–20% | Max Drawdown | -9.4% |
| Liquid Alternatives | 0–15% | | |
| Cash & Equivalents | 0–10% | | |

* Performance figures are hypothetical and for illustration only. Gross returns do not reflect advisory fees or expenses.

This material is for informational purposes only and is not an offer to sell or a solicitation of an offer to buy any security. Past performance is not indicative of future results.

20260227-8367-12260

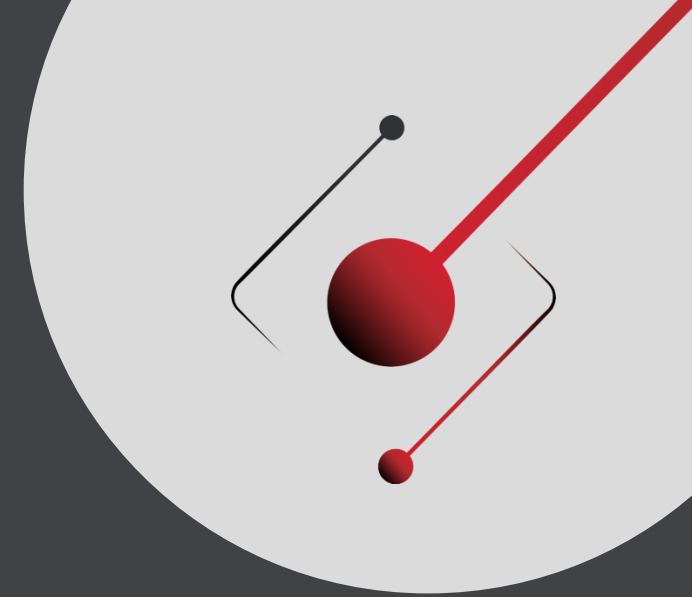


Where We're Headed

ACCELERATE 2026

Roadmap

| Timeframe | Investment Companies | Wealth Managers |
|-----------|---|---|
| Now | Send to 4U live; document + metadata sync FINRA approval letter updates, ADA versions, content record updates, lit code support | WM content distribution: For WMs that use 4U for their own content, they can use the same integration as ICs – in testing |
| Future | Broader rollout via waitlist; rolling out to Investment Companies in phased approach | WM Approvals: WMs review IC documents within Red Oak Benefit for WMs: All reviews in one place, and can leverage advanced Compliance capabilities |



Ecosystem to Compliance

ACCELERATE 2026

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

Seismic + Red Oak: Compliant Content, Seamlessly Connected

1. Create Content

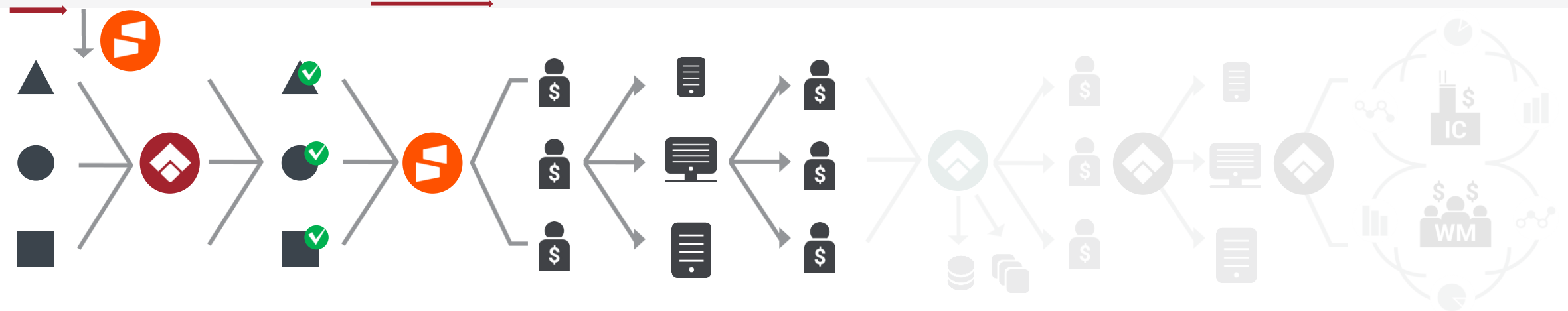
Marketer uploads content into Seismic, submits for approval in Red Oak

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


1. Content Submission in Seismic- ID content

The screenshot displays the Seismic Library Asset Management interface. At the top, there is a search bar and a navigation menu on the left. Below the search bar, the 'Library' section is titled 'Asset Management' and features seven summary cards: Custom Content (65), Watermark (1), Red Oak Content (45), Expiring soon (18), Alternatives (41), Engagement Approval (7), and Pending Approval (36). A 'Manage views' button is located to the right of these cards.


Below the summary cards, the 'All content' section is visible, featuring a search bar, filters, and sorting options. The main content area is a table with the following columns: Name, Owner, Version, Version created, Red Oak Submission State, Recommendation, and Origin.

| <input type="checkbox"/> Name ↑ | Owner | Version | Version created | Red Oak Submission State | Recommendation | Origin |
|--|------------------|---------|-----------------|--------------------------|----------------|--------|
| <input type="checkbox"/> Test Red Oak Workflow Clone TC2 Renamed Child Clone.... | RedOak Integrati | 0.1 | Nov 1, 2024 | - | Archive | - |
| <input type="checkbox"/> Test Red Oak Workflow Clone TC2.PDF | RedOak Integrati | 0.1 | Nov 1, 2024 | - | Archive | - |
| <input type="checkbox"/> Test Red Oak Workflow Support Demo.PDF | RedOak Integrati | 0.1 | Feb 20, 2025 | - | Archive | - |
| <input type="checkbox"/> Test Red Oak Workflow Sync Support Demo.PDF | RedOak Integrati | 0.1 | Mar 19, 2025 | - | Archive | - |
| <input type="checkbox"/> Test Red Oak Workflow.PDF | RedOak Integrati | 0.1 | Oct 31, 2024 | - | Archive | - |
| <input type="checkbox"/> Alternatives Fund Fact Sheet PH | Jessica Holmes | 0.3 | Sep 8, 2025 | Draft | Review | - |
| <input type="checkbox"/> Alternatives Fund Fact Sheet WW | Jessica Holmes | 0.4 | May 21, 2025 | Approved | Archive | - |

1. Content Submission in Seismic- Content Properties

Search✦ ♥ 🔔 ?

← Library > Asset Management > Red Oak > AltsFact Sheet LA○ Unpublished | Version 1.1 (Draft in review) ▾🔗 📄 + 🔄 Recall

 **Investments**
powered by SEISMIC

OVER 50 YEARS INVESTMENT EXPERIENCE

MORNINGSTAR CATEGORY
Alternatives

MORNINGSTAR RATING
★★★★

FUND FACTS

| | |
|------------------------|-------------------------|
| Inception Date | 06/01/2004 |
| Total Net Assets | \$3.2B |
| Primary Benchmark | HFRL Equity Hedge Index |
| Distribution Frequency | Semiannually |
| Number of Holdings | 67 |
| Net Expense Ratio | 1.05 |
| Gross Expense Ratio | 1.08 |
| Ticker | ALTSX |
| CUSIP | 58767898A |

INVESTMENT TEAM

John Bradford
Chief Investment Officer
Joined Firm: 16
Years of Experience: 24

Anne Walsh
Portfolio Manager

Alternatives Fund

AS OF: 06/30/2023 SILVERTOWER APPROACH: Aggressive Growth

Investment Approach

Conservative Growth with a strong focus on REITs, private debt, and derivatives investments.

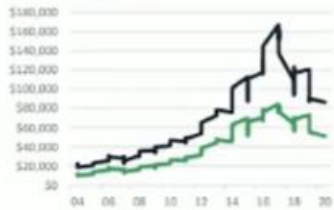
Objective

A research driven strategy, that integrates multiple factors to identify attractively high valued, high-quality assets with long-term growth prospects. Alternative investments can provide an interesting opportunity for investors.

Portfolio Characteristics

| | Alternatives Fund | HFRL Equity Hedge Index |
|----------------------|-------------------|-------------------------|
| Wtd Ave Market Cap | \$1.2B | \$1.1B |
| Price / Earnings | 25 | 22 |
| Price / Book | 1.8 | 1.0 |
| Price / Cash Flow | 6 | 6 |
| 3 year EPS Growth | 8.2% | 8.7% |
| 5 year EPS Growth | 6.1% | 5.9% |
| 3 year growth (est.) | 14% | 12% |
| Return Equity | 12% | 9% |
| Dividend Yield | 7.1% | 2.00% |
| No. of Securities | 35 | 500 |


Growth of \$10,000



Risk Statistics

| | Alternatives Fund | HFRL Equity Hedge Index |
|---------------------|-------------------|-------------------------|
| Alpha | 1.2 | 1.1 |
| Beta | 0.8 | 1.0 |
| R-Squared | 91.2 | 100.0 |
| Standard Deviation | 19.2 | 20.0 |
| Sharpe Ratio | 0.4 | 0.5 |
| Up Market Capture | 105.0 | 100.0 |
| Down Market Capture | 90.0 | 100.0 |
| 10 Year Return % | 0.1 | 0.1 |
| Value at Risk | 91.0 | 0 |
| Conditional VolR | 88.0 | 0 |

Sector Allocation



Performance is historical and does not guarantee future results. Current performance may be seen in higher investment returns. For legal advice, consult your investment advisor. Past performance does not guarantee future results.

Content properties

English - English
Internal notes Add

Profiles ▾

Content properties ▾

Classification *

External

Red Oak

True

Red Oak Submission ID

5341788

Red Oak Submission State

Draft

RO - Audience

Other

[Show 39 more](#)

1. Content Submission in Seismic- Red Oak Status

The screenshot displays the Seismic platform interface. The main content area shows a document titled "Alternatives Fund" with a status of "Draft". The document content includes:

- Investment Approach:** Conservative Growth with a strong focus on REITs, private debt, and derivatives investments.
- Objective:** A research driven strategy, that integrates multiple factors to identify attractively high valued, high-quality assets with long-term growth prospects.
- Portfolio Characteristics:** A table comparing the Alternatives Fund to the HFRL Equity Hedge Index across various metrics like Market Cap, Price/Earnings, and Growth.
- Risk Statistics:** A table showing metrics like Alpha, Beta, R-Squared, and Standard Deviation.
- Growth of \$10,000:** A line chart showing performance over time.
- Sector Allocation:** A donut chart showing the distribution of investments across sectors like Consumer Goods, Energy, and Healthcare.

The right sidebar shows the "Approval workflow" section, which is currently in the "Submitted" state. A red arrow points to the "Submitted" status. The workflow details are:

- Status: Submitted (with a green checkmark icon)
- Submitted by: Jessica Holmes (with a profile icon)
- Submitted time: 26 minutes ago
- Approval type: Red Oak Approval
- Action: Claim this step (with a clock icon)
- Buttons: Reject, Approve

The top navigation bar includes the Seismic logo, a search bar, and user profile icons. The breadcrumb trail shows: Library > Asset Management > Red Oak > AltsFact Sheet LA. The document version is "Version 1.1 (Draft in review)".

2. Review in Red Oak

Compliance Workflows

WORKFLOW

- Submissions

ANALYTICS

- Search
- Library
- Reports

MANAGE

- Submission Types
- Questions
- Fieldsets
- Comment Templates
- Entities
- Rules
- AI Review
- Lexicon
- Disclosure Tools

REDOAK

Submissions

Manager Functions + New Submission

All Active (1002) Unclaimed (37) Pending Your Action (487) Pending Others Action (132) Most Recent Expiring Completed

Filter by Title, ID 483 Not Awaiting FINRA 8 Awaiting FINRA Filters Export File

| ID | Name | Status | Submitter | Submission Type | Department | Submitter Group | Needed By | Current Activity |
|---------|---|--------------------|-------------------|-------------------|------------|------------------------|----------------------|-------------------|
| 5341788 | <u>AllisFactSheetLA</u> Approval Workflow | Pending Compliance | Jessica Marketing | Approval Workflow | (none) | Field Reps | 10/25/2025, 11:53 AM | Jessica Marketing |
| 5314608 | <u>Small Cap Equity Pitchbook...</u> Approval Workflow | Pending Compliance | Jessica Marketing | Approval Workflow | (none) | Field Submitters | 10/25/2025, 11:53 AM | Jessica Marketing |
| 5314592 | <u>Test Document</u> Approval Workflow | Pending Compliance | Jessica Marketing | Approval Workflow | (none) | Marketing USA | 10/25/2025, 11:53 AM | Jessica Marketing |
| 5151956 | <u>ABC-11</u> Approval Workflow | Draft | Allan AllRoles | Approval Workflow | (none) | Marketing USA | 10/25/2025, 11:53 AM | Allan AllRoles |
| 5151946 | <u>ABC-12</u> Approval Workflow | Draft | Allan AllRoles | Approval Workflow | (none) | Field Reps | 10/25/2025, 11:53 AM | Allan AllRoles |
| 5042445 | <u>ABC-13</u> Approval Workflow | Draft | Allan AllRoles | Approval Workflow | (none) | Marketing USA | 10/25/2025, 11:53 AM | Allan AllRoles |
| 5042446 | <u>Test Pendo</u> Approval Workflow | Draft | Allan AllRoles | Approval Workflow | (none) | Home Office Submitters | 10/25/2025, 11:53 AM | Allan AllRoles |
| 5042447 | <u>ROC-1187</u> Approval Workflow | Draft | Allan AllRoles | Approval Workflow | (none) | Demo Submitters | 10/25/2025, 11:53 AM | Allan AllRoles |

Entries per page: 10 25 50 < Previous 1 2 3 ... 8 9 10 Next >

3. Approval and Publish to Seismic Library

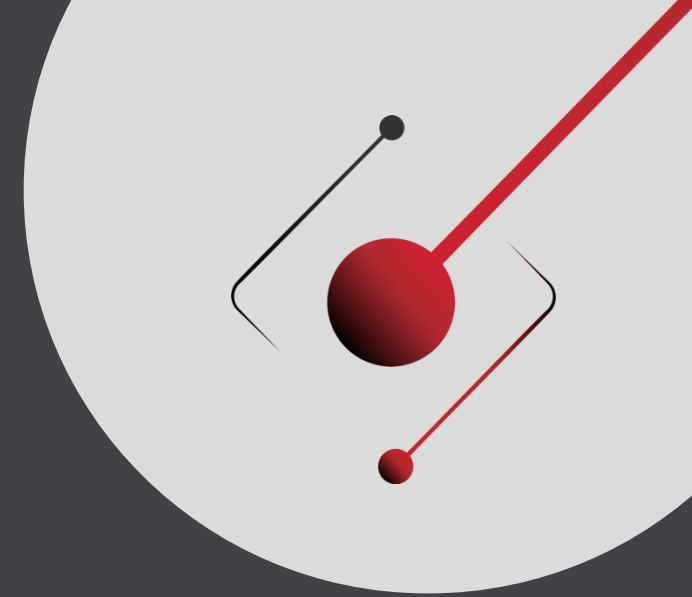
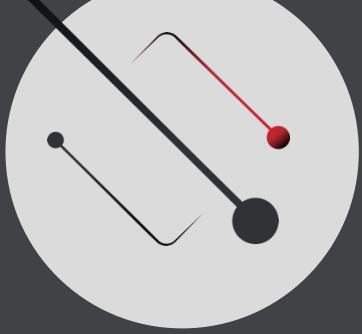
The screenshot displays the Seismic platform interface for reviewing and publishing a document titled "AltsFact Sheet LA". The interface is divided into several sections:

- Header:** Includes the Seismic logo, a search bar, and navigation icons (star, heart, bell, help, profile).
- Breadcrumbs:** Library > Asset Management > Red Oak > AltsFact Sheet LA.
- Document Status:** Unpublished | Version 1.0 (Unpublished) | Publish button.
- Left Panel (Investment Team):**
 - Hedge Index:** Distribution Frequency (Semiannually), Number of Holdings (67), Net Expense Ratio (1.05), Gross Expense Ratio (1.08), Ticker (ALTSX), CUSIP (98767898A).
 - Investment Team:**
 - John Bradford:** Chief Investment Officer, 16 years experience.
 - Anne Walsh:** Portfolio Manager, 12 years experience.
 - David Hernandez:** Senior Analyst, 6 years experience.
 - Catherine Leung:** Senior Analyst, 8 years experience.
- Main Content Area:**
 - Key Metrics Table:**

| | | |
|----------------------|------|-------|
| Price / Book | 1.6 | 1.9 |
| Price / Cash Flow | 6 | 6 |
| 3 year EPS Growth | 8.2% | 8.7% |
| 5 year EPS Growth | 6.1% | 5.9% |
| 3 year growth (est.) | 14% | 12% |
| Return Equity | 12% | 9% |
| Dividend Yield | 2.1% | 2.60% |
| No. of Securities | 35 | 500 |
 - B-Squared Table:**

| | | |
|---------------------|-------|-------|
| B-Squared | 91.2 | 100.0 |
| Standard Deviation | 19.2 | 20.0 |
| Sharpe Ratio | 0.8 | 0.5 |
| Up Market Capture | 105.0 | 100.0 |
| Down Market Capture | 90.0 | 100.0 |
| 10 Year Return % | 0.1 | 0.1 |
| Value at Risk | 91.0 | 0 |
| Conditional VaR | 88.0 | 0 |
 - Growth of \$10,000:** Line chart showing performance from 2004 to 2020. The Y-axis ranges from \$0 to \$180,000. Two lines represent different investment scenarios.
 - Sector Allocation:** Donut chart showing the distribution of investments across sectors: Consumer Discretionary, Consumer Staples, Energy, Financials, Health Care, Industrials, Info Tech, Materials, Telecom, Utilities, Cash, and Other.
 - Cumulative Returns:** Bar chart comparing Net Return and HFRL Equity Hedge Index over 1, 2, 3, 5, 7, and 10 years. Net Return is consistently higher.
 - Top 10 Holdings Table:**

| Company | Weight |
|---------------------------------|--------|
| Apple Inc. | 13.00% |
| Exxon Mobil Corporation | 11.77% |
| Microsoft Corporation | 12.53% |
| Johnson & Johnson | 11.30% |
| General Electric Company | 10.06% |
| Wells Fargo & Company | 8.83% |
| Chevron Corporation | 7.60% |
| Berkshire Hathaway Inc. Class B | 6.16% |
| JPMorgan Chase & Co. | 5.11% |
| Procter & Gamble Company | 3.89% |
- Right Panel (Approval Workflow):**
 - Draft:** RO - Audience, Other, Show 39 more.
 - Approval workflow:** Comments toggle is on.
 - Red Oak:**
 - Submitted:** JH Jessica Holmes submitted Jan 29, 2026 at 9:16 AM. Resubmitting for review.
 - Red Oak Approval:** RI RedOak Integration Approved Jan 29, 2026 at 10:01 AM. Approved - comment test from redoak; Testing comment from redoak.

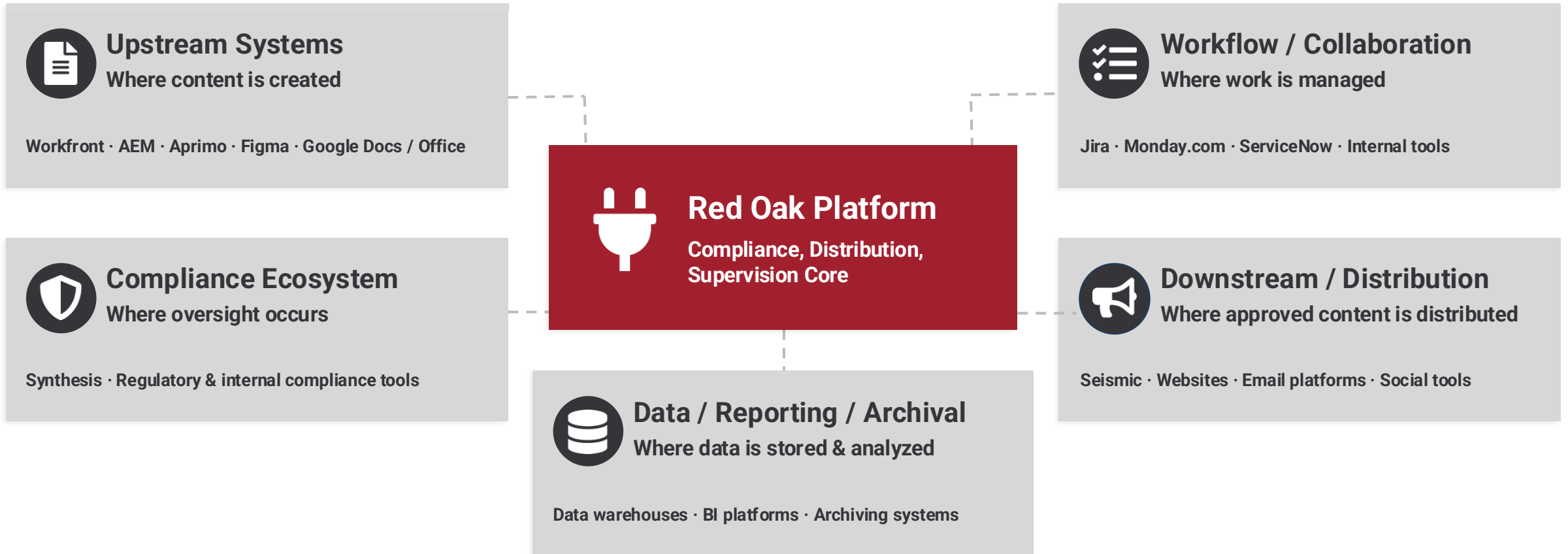


Expanding Your Ecosystem

ACCELERATE 2026

Your Systems, Connected to Red Oak

Connect Red Oak to the systems you already use—without requiring internal development resources.



Integrate Everything. Without the Lift.

Through our integration partnership with Roko, clients can rapidly deploy custom integrations across their marketing, compliance, and distribution ecosystem.

01 Identify

You identify an upstream or downstream system that needs to connect to Red Oak—a DAM, CRM, distribution platform, data warehouse, or any other tool in your ecosystem.

02 Design & Build

Roko, our preferred systems integrator, designs and implements a connector using Red Oak's APIs—so your internal dev team doesn't have to.

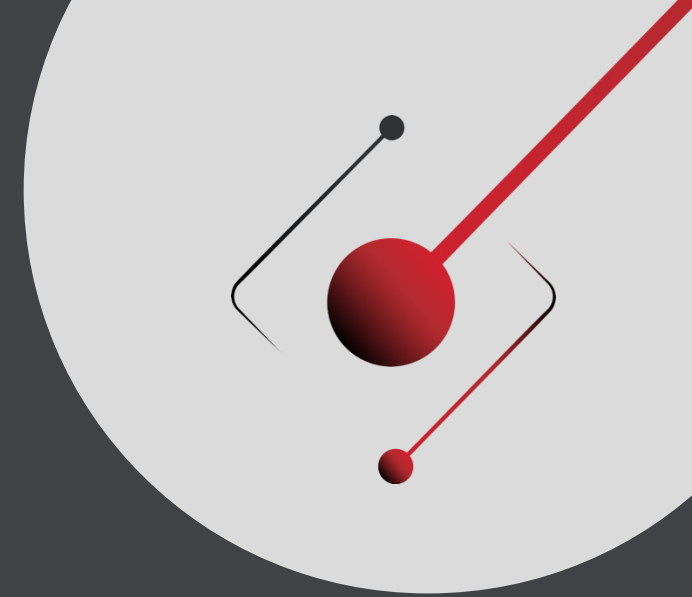
03 Deploy & Scale

The integration goes live with full compliance metadata, audit trails, and bidirectional data flow—extending Red Oak's core data and capabilities across your entire ecosystem.



Need an integration we don't currently support?

Our integration partner, Roko, can design and implement custom connectors using Red Oak APIs—so you don't have to build internally.



In Closing

ACCELERATE 2026



Your Content Journey Doesn't Have to be Broken



- Integration turns compliance from a bottleneck to a growth driver
- Integration provides a single source of truth within the CCP and beyond
- Integration reduces operational risk

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Interested in Becoming a Design Partner?

How? Ask your Account Manager, Client Success, or a Product Manager

What? At least monthly interactions with peers and Red Oak to dive deep on designs, prototypes and commitment to test in your stage environment



Questions

ACCELERATE 2026



Thank You

ACCELERATE 2026