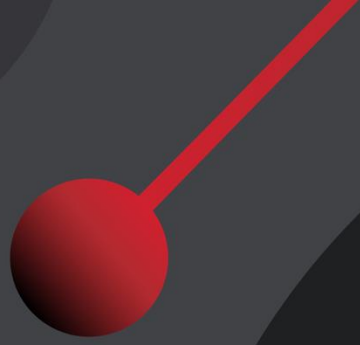




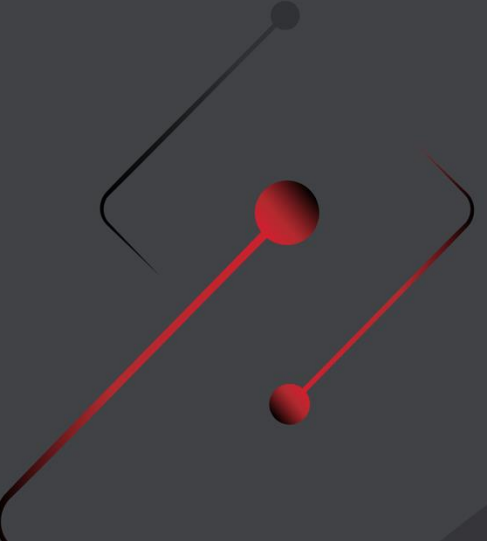
A

26



2026

ACCELERATE



 RED OAK PRESENTS

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.

AI Prompts and Classifications

ACCELERATE 2026

**Aaron
Berger**

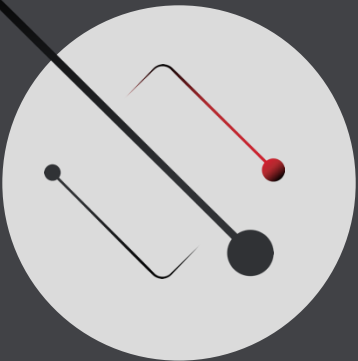
**Vice President of
Implementations**



**Mike
Lubansky**

**Senior VP of
Strategy**



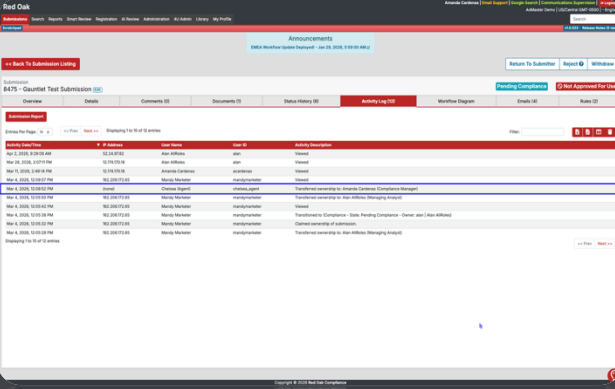


Today's Agenda

- Introduction and Overview of Red Oak's AI Module
- How the AI Module Works - Prompts, Classifications & Definitions
- What Makes a Good Classification Examples & common mistakes
- Writing Effective Definitions - Guidance & best practices
- Live Demo - See it in action with real examples
- Q&A & Next Steps

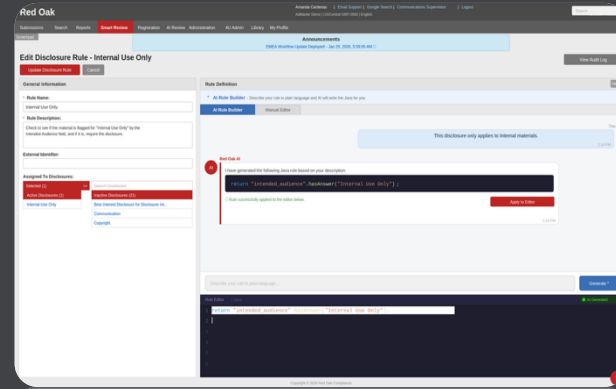
Compliance

Accelerating time to approval



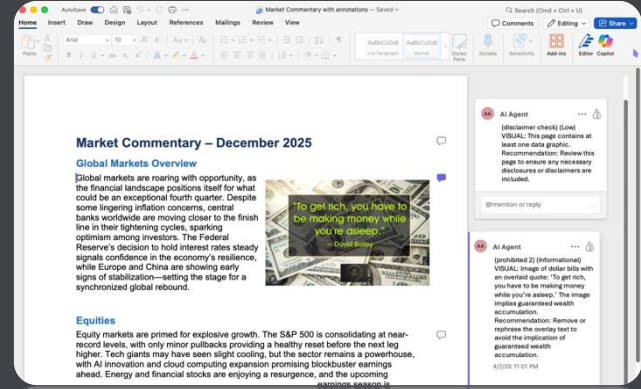
AI Agents

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

The screenshot displays the Red Oak compliance system 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'. A search bar is located on the right. Below the navigation, there is an 'Announcements' section with a message: 'EMEA Workflow Update Deployed! - Jan 29, 2026, 5:59:00 AM'. A red button labeled '<< Back To Submission Listing' is on the left, and buttons for 'Return To Submitter', 'Reject', and 'Withdraw' are on the right. The main content area shows a submission titled '8475 - Gauntlet Test Submission' with a status of 'Pending Compliance' and a 'Not Approved For Use' warning. Below this, there are tabs for 'Overview', 'Details', 'Comments (0)', 'Documents (1)', 'Status History (6)', 'Activity Log (12)', 'Workflow Diagram', 'Emails (4)', and 'Rules (2)'. The 'Activity Log' tab is selected, showing a table of activities. The table has columns for 'Activity Date/Time', 'IP Address', 'User Name', 'User ID', and 'Activity Description'. A specific activity is highlighted with a blue border and a red arrow pointing to it from a callout box. The activity is: 'Mar 4, 2026, 12:08:52 PM | (none) | Chelsea (Agent) | chelsea_agent | Transferred ownership to: Amanda Cardenas (Compliance Manager)'. Another red arrow points from a second callout box to the 'Activity Description' of this entry.

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)

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 'Announcements' banner at the top right states 'EMEA Workflow Update Deployed! - Jan 29, 2026, 5:59:00 AM'. The current page is titled 'Edit Disclosure Rule - Internal Use Only'. On the left, the 'General Information' section includes fields for 'Rule Name' (Internal Use Only) and '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.). Below this is the 'Assigned To Disclosures' section, showing a list of active disclosures including 'Internal Use Only'. The main 'Rule Definition' area is split into 'AI Rule Builder' and 'Manual Editor' tabs. The 'AI Rule Builder' tab is active, showing a chat interface where the user has entered a description: 'This disclosure only applies to Internal materials.' The AI has responded with a generated Java rule: `return "intended_audience".hasAnswer("Internal Use Only");`. A red callout box points to this rule, stating 'AI writes the rules for you, based on your custom fields and submission data.' Below the chat, there is a 'Describe your rule in plain language...' input field and a 'Generate *' button. At the bottom, a 'Rule Editor' shows the generated Java code in a dark-themed editor.

You describe where disclosures are needed, in plain language.

This disclosure only applies to Internal materials.

Red Oak AI
I have generated the following Java rule based on your description:
`return "intended_audience".hasAnswer("Internal Use Only");`
Apply to Editor

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

Describe your rule in plain language...
Generate *
Rule Editor | Java
`return "intended_audience".hasAnswer("Internal Use Only");`

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 with annotations – Saved

Home Insert Draw Design Layout References Mailings Review View

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.

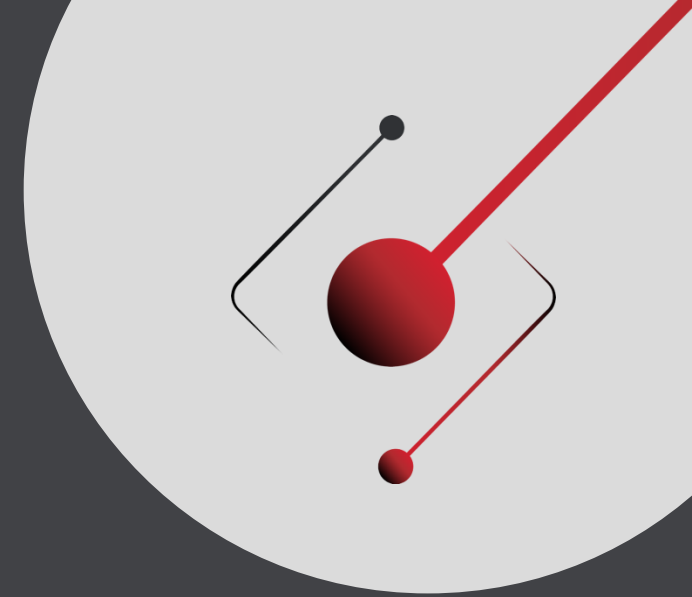
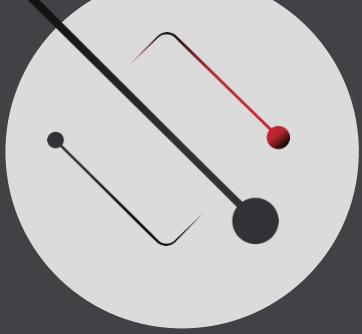
“To get rich, you have to be making money while you're asleep.”
— David Bailey

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.



How the AI Module Works

How the AI Module Works



Scans marketing & advertising materials for compliance issues



Two key building blocks: Prompts and Classifications



A Prompt is a group of Classifications



Each Classification has a name and a definition



The AI uses Classifications to identify potential findings

Inside The Prompt



High-Recall Philosophy: Flag everything potentially problematic



When In Doubt, Flag It: Missing issues is not acceptable



Flag Loose matches, sentences near disclaimers, citations



Don't Flag: Standard disclosures, required regulatory language, legal boilerplate

Inside The Prompt



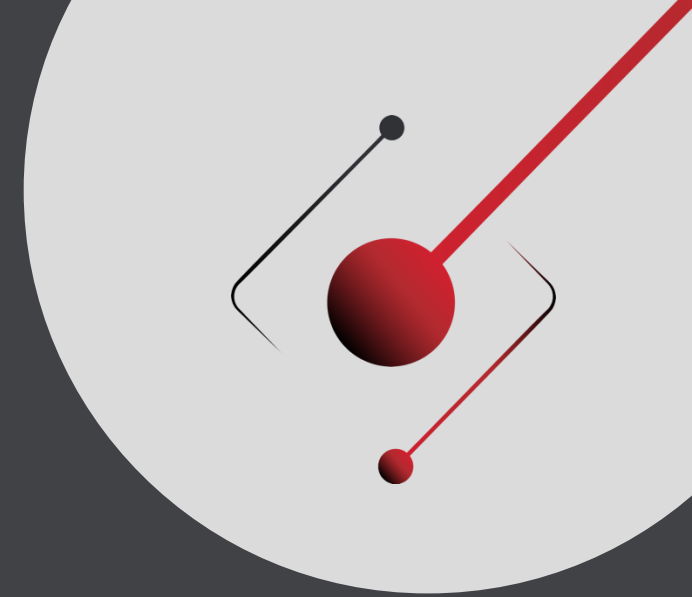
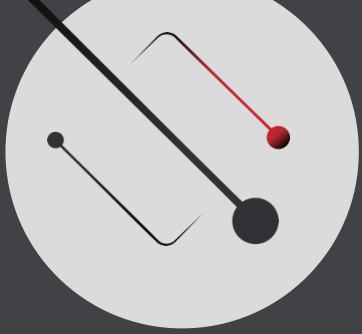
“You are a compliance expert analyzing financial services marketing materials. Your ONLY job is to identify sentences that violate compliance rules.”



⚠ PRIMARY GOAL: Find ALL potential compliance issues.



When in doubt → FLAG IT




Prompts and Rules

What is a Prompt (In Red Oak)?


A Prompt is a group of Classifications



No need to write out an entire prompt - simply select which Classifications belong to it



Multiple prompts can run against a single document



The same Classification can be used across multiple prompts

Prompts Can Be Organized By:



Regulatory Rules

SEC Marketing Rule
FINRA 2210



Firm Policies

WSPs
Advertising or Marketing
Compliance Policies



Region-Based

Canada Materials under OSC
SN 33-729

What Are Rules?



Rules define which documents get scanned by AI and which prompt(s) run against them



Rules allow you to target AI reviews precisely - not every document needs every prompt

Rules Can Be Triggered Based On:



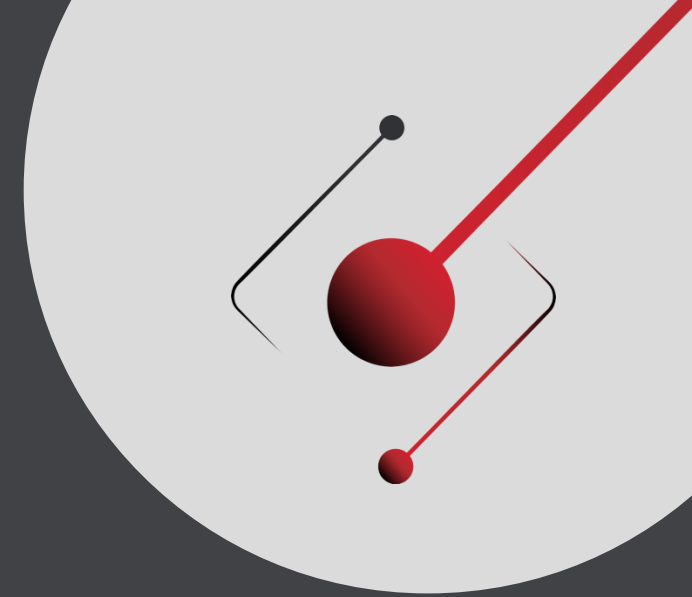
Intake form answers - scan documents based on how questions are answered on submission



Type of Piece - apply specific prompts based on the type of material uploaded



Submission status - control when the AI scan runs based on where the submission is in the workflow



Classifications and Definitions

What Is a Classification?

A simple one or two-word name for a type of finding

Should NOT be a long sentence or phrase

Must relate to what the model should identify

Used by the model to determine potential findings

SPECIFIC - not broad

“Guarantees”
“Misleading Claims”
“Hypothetical Performance”
“Improper Grammar”

What Is a Definition?

A plain-language description of a Classification

Can include examples to help guide the model

Keep it simple - especially at first

Definitions are NOT instructions — they describe *what* to look for, not *how* to behave

Classification: **Promissory**

Definition: A statement which implies a promise of returns or results.

Why Classifications & Definitions?



Easy To Explain



Easy To Understand



Easy To Maintain (with experience)



Makes AI Accessible to non-technical users

Severity



Allows you to categorize Classifications based on the severity of findings



Each document will have a Severity Score – weighted by the average severity of findings.

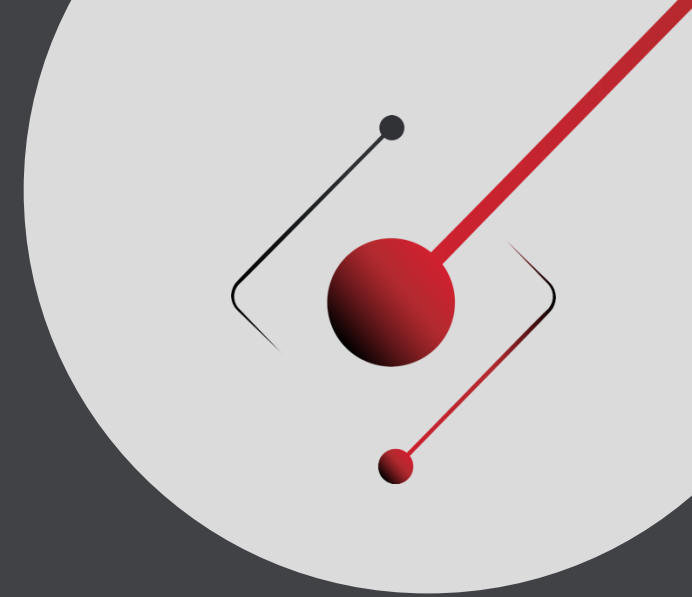
INFORMATIONAL – 0

LOW – 1

MEDIUM – 3
27

HIGH – 9

CRITICAL –



Examples of Classifications

Examples of Bad Classifications

FINRA 2210

Look for anything that violates FINRA 2210. Cite the portion of the rule if possible.

Too Broad!

A good name for a Prompt, but not a classification

Hypothetical Performance

Performance figures which are not properly sourced.

What is “properly sourced”?

Sourcing information needs to be validated by a reviewer

Promissory or Exaggerated

Language that either seems to promise returns/results or is overly hyperbolic in nature.

Combines two concepts

Sources

Statement which references a date more than one year old.

Avoid references to dates or timeframes

Examples of Good Classifications

Promissory

A statement which implies a promise of returns or results

Hypothetical Performance

A statement that mentions net returns without mentioning gross returns, or vice versa.

Exaggerated

Language that is hyperbolic in nature when describing something.

Improper Grammar

Language that uses improper grammar.

AI Images and Vision



Allows you to analyze images



Substantiate with graphs and charts



Review text within images

Tips and Best Practices

1

Test using documents with known compliance issues

Test with materials reviewers have already flagged. Approved documents are too clean and will only surface fake positives

2

Use the Prompt Tester

Quickly test classification updates and see revised output without having to create new submissions in Red Oak

3

Test across as many documents as possible

Make updates based on trends, not reactions to one or two documents

4

Test one classification at a time

Isolate changes so you can clearly see what's driving the results

5

AI is non-deterministic

Just like multiple reviewers may see things differently, results can vary slightly between scans of the same document. This is normal.



Live Demo



ACCELERATE 2026

Common Pitfalls to Avoid

- ✗ Combining two concepts into one classification
 - ✗ Writing a definition that reads like an instruction
 - ✗ Being too broad — catches everything including non-issues
 - ✗ Being too narrow — misses legitimate findings
- ✓ Start simple and refine over time based on results

Not Sure Where to Start? We're here to help!



**Contact Red Oak Support or
your Client Success Manager**

Questions

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Thank You

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