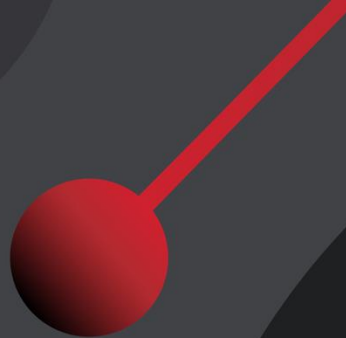




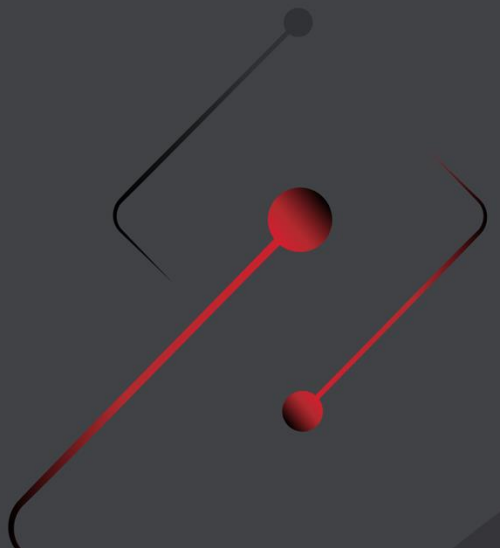
A

26



2026

ACCELERATE



 RED OAK PRESENTS



CCP In Action: Social Media to Red Oak Integration

ACCELERATE 2026

**James
Cella**

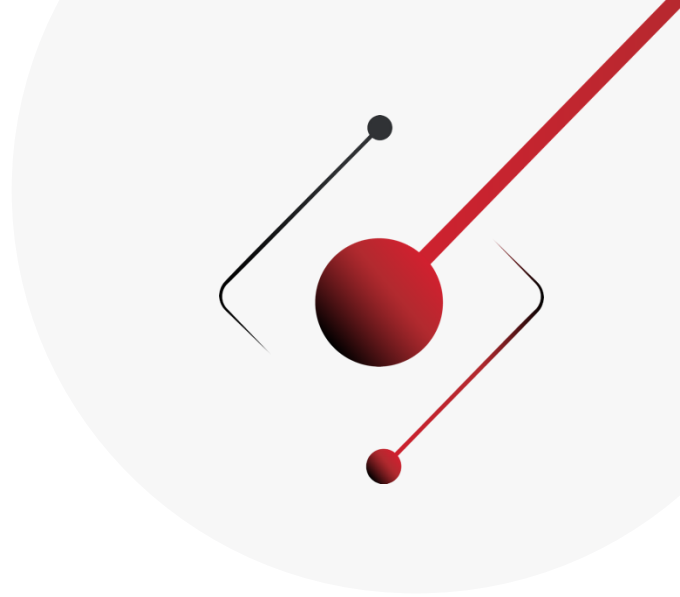
**Chief Supervision
Evangelist**



**Haila
Vinson**

**Implementation
Manager**





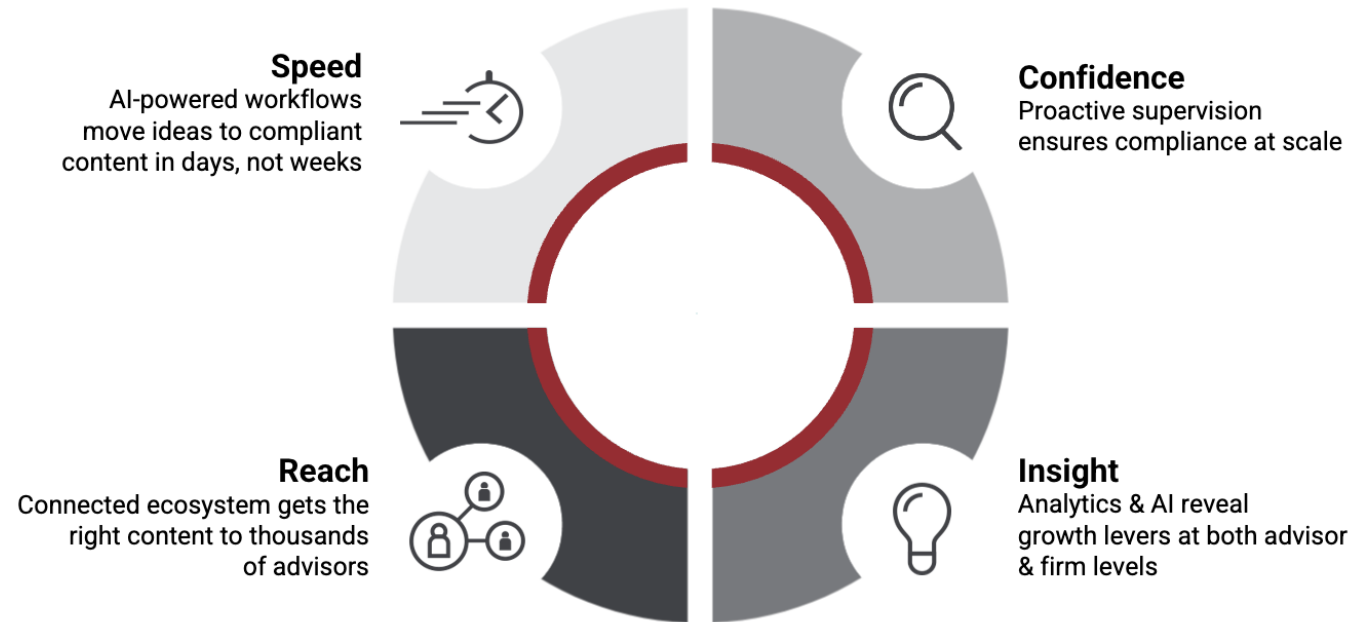
CCP IN ACTION

Social Media Compliance to Red Oak Integration Demonstration



Compliance Connectivity Platform (CCP)

Red Oak is the modern compliance ecosystem for Investment Companies and Wealth Management Companies, built to streamline review workflows, deliver AI-powered insights, and drive revenue growth. Integration from content creation through distribution and engagement enables advisors to grow AUM while staying compliant.





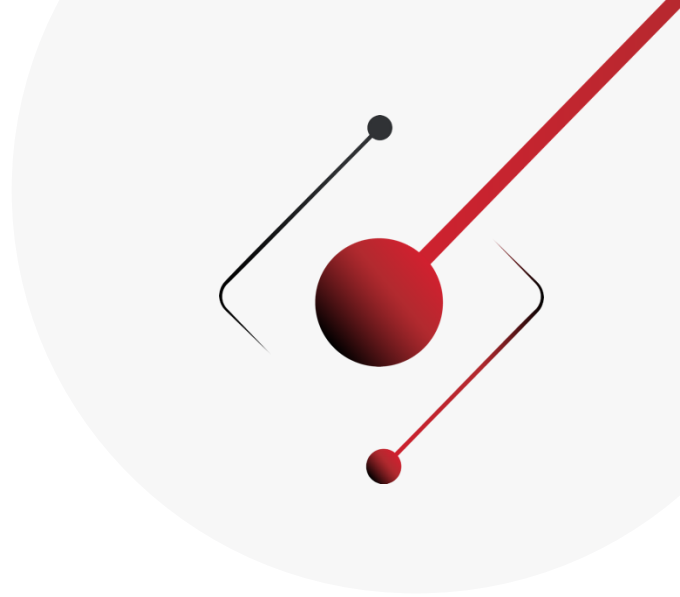
David Herndon

**Director of Solutions
Engineering, Red Oak**

David is a Senior Marketing and Compliance professional with 30+ years of experience in corporate and financial services environments.

What is the value of integrating?

- **Remove duplicative processes**
 - Reducing many of the backend reviews
- **Remove manual processes**
- **Reduce errors**
- **Everything is in one place**
 - End-to-end audit trail
- **Increase speed to market**
 - Added efficiencies
- **Content Library connected to Red Oak**
 - Marketers and Advisors can manage and create content



SELF CREATED CONTENT

Social Media Compliance to Red Oak Integration





Self Created Content – SMC Integration

1

User creates content for social platforms

2

User can set-up scheduling preferences for when items post once approved

3

User completes request, providing submission form details that are sync'd with compliance review

The screenshot displays the 'New Submission' workflow. At the top, there are tabs for 'Quick Submission' and 'New Submission'. The main form is titled 'Choose an Account' and includes a 'New LinkedIn Submission - Choose a Content Type' section with icons for text, image, video, group, and PDF. Below this is a 'Photo' section with a 'Browse...' button and an 'Upload' button. A file named '50292c75-4222-4758-b788-fee93b26feb5.png' is shown. The 'Message' section contains a text area with a pre-filled message about Red Oak's SMC integration. At the bottom, there is a checkbox for 'This content complies with the WAM S...' and a 'Publish Later' button. A 'Preview Submission' dialog is overlaid on the right, showing 'Submission Confirmation' and a 'Comment to Reviewer' field. A 'Publish Now' button is visible in the background. A detailed 'Preview Submission' dialog is also shown in the foreground, featuring a 'Submission Confirmation' section, a 'Comment to Reviewer' field, and a 'Publish Later' button. Below this, there are two questions in both English and French: 'Does this content reference a product or capability?' and 'Does this material contain a link or reshare that directs to third-party material?'. The first question has a 'Check all' button selected, and the second question has a 'Check all' button selected. A 'Select options' dropdown is also visible. At the bottom of the dialog are 'Cancel' and 'Confirm' buttons.



Self Created Content – SMC Integration

4

Social Media Submission flows into Red Oak Compliance Workflow

5

The compliance submission form is pre-filled using the responses provided from SMC submission

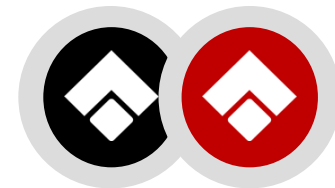
6

The submission is converted into .pdf with supporting materials (images + video)

7

Compliance can review and request changes

The screenshot displays the Red Oak Compliance Workflow interface. At the top, it shows 'Submissions All Active' with a filter for 'share' and a 'Show Submission Status' button. Below this is a table of submissions with columns for ID, Name, Status, Submitter, Submission Type, Department, Submitter Group, Need By Date/Time, Current Owner, Current Activity, and Activity Due Date. A 'Questions & Answers' section is visible, containing a question about uploading PDFs. A 'View Revision' window is open, showing a PDF document with annotations. The annotations include comments from James Cella regarding the integration between Red Oak's Social Media Compliance and their flagship Ad Review platform. At the bottom, there are buttons for 'Return to Submitter Changes Required', 'Approved', 'Withdraw', and 'Rejected'. Below these are 'Pending Compliance' and 'Not Approved For Use' buttons. At the very bottom, there are tabs for 'Activity Log (3)', 'Workflow Diagram', 'Emails (2)', and 'Rules (0)'. A red arrow points from the 'Return to Submitter Changes Required' button to the 'Activity Log (3)' tab.



Self Created Content – SMC Integration

8 User notified via email, can see Reviewer Comments and access annotated mark-up with SMC

9 Once revised, Submitter resubmits.

10 Once all is satisfactory, Compliance Approves

11 Approved Posts are automatically posted to the Users' social media accounts

Submitter Group	Need By Date/Time	Current Owner	Current Activity	Activity Due Date
SMC Submitters	Feb 23, 2026, 2:49:14 AM	James Cella	Compliance Review	
SMC Submitters	Feb 21, 2026, 10:02:38 PM		Compliance Review	
SMC Submitters	Feb 20, 2026, 10:54:21 PM		Compliance Review	
SMC Submitters	Feb 14, 2026, 1:30:09 AM	Vijaya Koppala	Create/Update Submission	



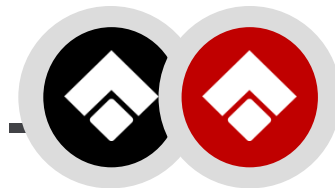
ADDING VOICE TO LIBRARY CONTENT

Social Media Compliance to Red Oak Integration



ACCELERATE 2026

Content Library Customization of Content Social Media Integration

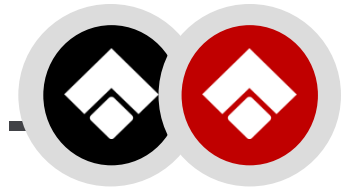


- 1** Find pre-approved, publish-ready content in the content library.
- 2** Publish or schedule the content as is OR click customize to update the content with your own voice/spin.
- 3** Ability to send submission back to the into Red Oak for review

The screenshot displays a 'Customize & Publish' interface. At the top, there's a 'Message' text area containing a paragraph about a jobs report and a URL. Below this is a 'Date to Publish' section with a calendar for February 2026. A 'Publish Now' button is visible. A 'Questions & Answers' section is overlaid, listing 16 items with their status (e.g., 'Unanswered', 'Facebook Page: 123 Financial - The money guys').

Question	Answer
1. Date to Publish	Unanswered.
2. Account Name	Facebook Page: 123 Financial - The money guys
3. Account Type	FACEBOOK_PAGE
4. Account URL	https://www.facebook.com/105387406204939
5. Policy Assignment	Default Policy
6. Reviewer User Group	James Cella
7. User Country	NEW_FIELD
8. Library Content Submission?	yes
9. Attached Link	Unanswered.
10. Content ID	7491594
11. User CRD Number	123456789
12. User Name	James Cella
13. User Key field	4JK77-4511
14. User Email	tswanson@redoak.com
15. Account Token Expiration	Unanswered.
16. Discard if not approved?	Unanswered.

Content Library Customization of Content - Social Media Integration



4

Highlights the mark ups both additions and deletions, can add annotations

5

Compliance can request changes

6

Email notification is sent with pdf attachment

7

Submitter can access the annotated pdf from Red Oak

User / Account Information
Owner: James Cella

Return to Submitter Changes Required (Target: SMC Submitters)

Comment: Internal? Paste From Scratchpad

Quick Submission New Submission Details

123 Financial - The money guys

A MASSIVELY stronger-than-expected jobs report for the month of January is likely to cement that the Federal Reserve holds interest rates steady for a while. This report is so critical to huge gains.

"[The jobs report] pours cold water on the idea the Fed could cut rates again before mid-year and will fuel internal debate as to how mild policy is and how much slack there is in the labor market," Evercore ISI head of economics and central banking Krishna Guha said.

<https://finance.yahoo.com/news/strong-jobs-report-likely-to-keep-fed-on-hold-for-a-while-175129250.html>

ROC Turns 15

Edit Withdraw Comment to Reviewer Cancel

Pre Review: 2026-02-18 10:13:51 AM (EST) (Feb 18)

Status History

Created: Feb 18 2026-02-18 10:13:51 AM (EST)

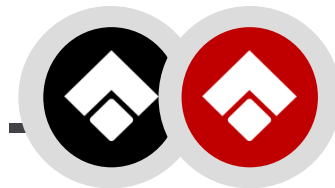
Pre Review: Feb 18 by James Cella. 2026-02-18 10:13:51 AM (EST)

Reviewer / User Dialogue

James Cella at 2026-02-18 10:16:06 AM (EST) said:
This is the pdf that is submitted for review
ro-index-1771427756759.pdf View

James Cella at 2026-02-18 04:31:36 AM (EST) said:
(blank)
ro-index-1771427756759-review.pdf View

Content Library Customization of Content - Social Media Integration

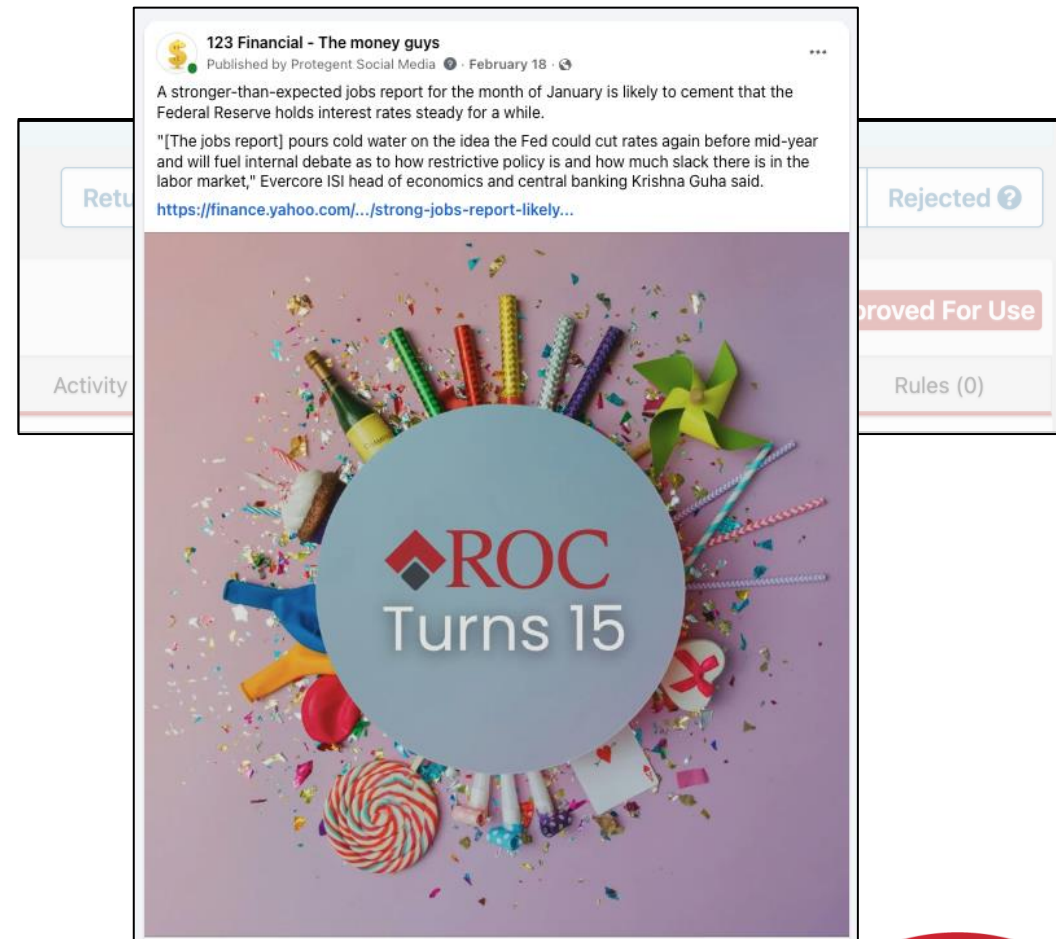


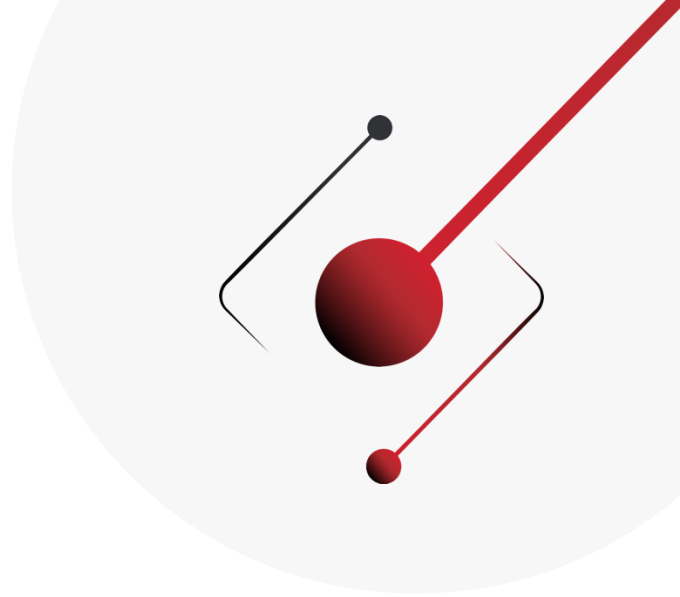
8

Submission is sent back to Red Oak with updates

9

Approved posts are published to the social media account automatically





CONTENT LIBRARY CREATION

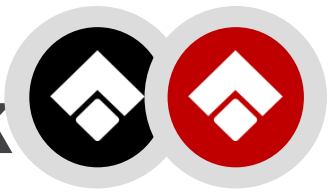
Social Media Compliance to Red Oak Integration



ACCELERATE 2026



Content Library Creation – SMC to Red Oak Integration



1 User creates new content library submission

2 User fills out Red Oak Questions

3 Library submission flows into Red Oak workflow

The screenshot displays the 'Library Details' section of a content submission form. The 'Name' field contains 'New Piece of Content' and the 'Approval Number' is '875138-158745'. A modal window is open with the following questions:

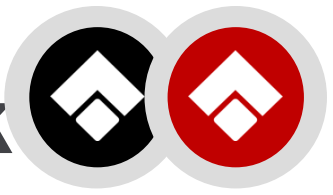
- Does this content reference a product or capability? / Ce contenu fait-il référence à un produit ou à une fonctionnalité? (17 of 17 selected)
- Does this material contain a link or reshare that directs to third-party material? / Ce document contient-il un lien ou un partage redirigeant vers un

The modal also shows a 'Check all' button, an 'Uncheck all' button, and a '+Yes / Oui' button. Below the modal, a table lists submissions:

ID	Name	Status	Submitter	Submission Type	Department	Submitter Group	Need By Date/Time	Current Owner	Current Activity	Activity Due Date
5154693	Owner Share: James Cella Social Media Review	Pending Compliance	SMC API Submitter	Social Media Review	(none)	SMC Submitters	Feb 23, 2026, 2:49:14 AM	James Cella	Compliance Review	
5148273	Owner Share: James Cella Social Media Review	Pending Compliance	SMC API Submitter	Social Media Review	(none)	SMC Submitters	Feb 21, 2026, 10:02:38 PM		Compliance Review	
5143888	Owner Share: James Cella Social Media Review	Pending Compliance	SMC API Submitter	Social Media Review	(none)	SMC Submitters	Feb 20, 2026, 10:54:21 PM		Compliance Review	
5125683	Owner Share: James Cella Social Media Review	Pending Submitter Changes Required	SMC API Submitter	Social Media Review	(none)	SMC Submitters	Feb 14, 2026, 1:30:09 AM	Vijaya Koppala	Create/Update Submission	
5115785	Owner Share: James Cella Social Media Review	Pending Submitter Changes Required	SMC API Submitter	Social Media Review	(none)	SMC Submitters	Feb 11, 2026, 10:51:39 PM	Hailia Vinson	Create/Update Submission	



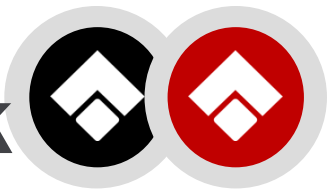
Content Library Creation – SMC to Red Oak Integration



- 4** Library submission is converted into PDF with supporting materials like images and videos
- 5** Ability to send submission back to the social media submitter
- 6** Email notification is generated to the Marketing Submitter
- 7** Reviewer comments from Red Oak are displayed

A screenshot of a PDF review interface. At the top, a toolbar includes options like 'View', 'Annotate', 'Shapes', and 'Fill and Sign'. Below the toolbar, a table shows 'Media Category' as 'IMAGE' and a 'Message' that says 'Amazing things happen when you...'. A navigation bar contains buttons for 'Return to Submitter Changes Required', 'Approved', 'Withdraw', and 'Rejected'. A 'Status History' section shows a 'Pre Review' from 2 days ago. A 'Reviewer / User Dialogue' section shows a conversation where James Cella asks for a review and then provides a link to a review PDF. A red box highlights the final comment: 'Please make the following updates! Cathy said these need to be fixed. Don't mess with her!' with a link to the review PDF. A red arrow points from this comment to the bottom of the slide.

Content Library Creation – SMC to Red Oak



8 Submitter can access the annotated pdf from Red Oak

9 Submission is sent back to Red Oak with updates

10 Approved Library content becomes available in the content library

The screenshot displays the Red Oak Social Library interface. At the top, there are buttons for 'Edit', 'Withdraw', 'Comment to Reviewer', and 'Cancel'. Below these, a 'Status History' section shows 'Created: 2 days' and 'Pre Review: 2 d'. A navigation bar includes 'Return to Submitter Changes Required', 'Approved', 'Withdraw', and 'Rejected'. The main content area shows a list of items with various images and text, including an 'Easter Content Notification Message', a webinar announcement for 'Where Compliance is Headed in 2025', and an 'AI FinTech 100' advertisement. The interface also shows user information for 'James Cella Reviewer' and various filters and controls.

Questions

ACCELERATE 2026



Thank You

ACCELERATE 2026