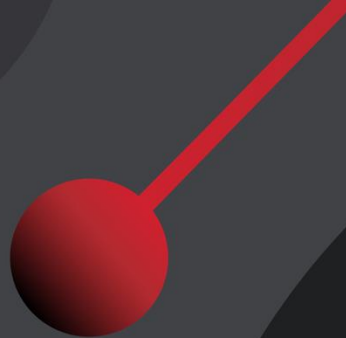




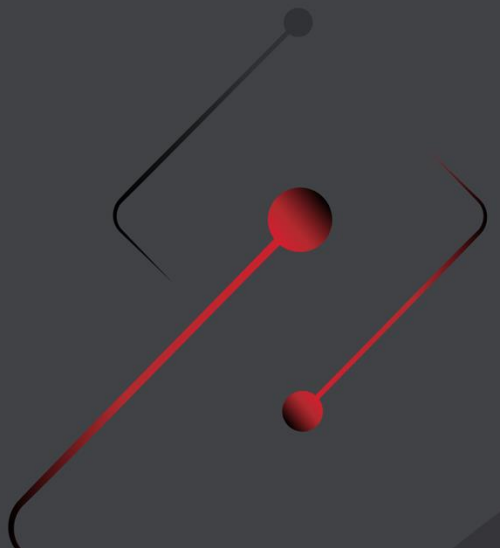
A

26



2026

ACCELERATE



 RED OAK PRESENTS

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

Cutting through False Positives: AI in eComms and Social

ACCELERATE 2026

James Cella

Chief Supervision
Evangelist, Red Oak



Jamie Hoyle

VP of Product,
MirrorWeb





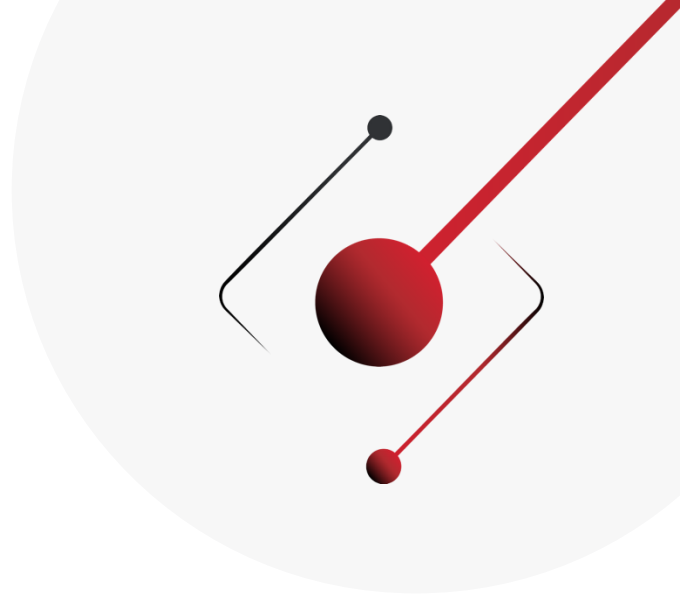
Agenda

Social Media Compliance

- AI Updates and What's Next

Communication Supervision Platform

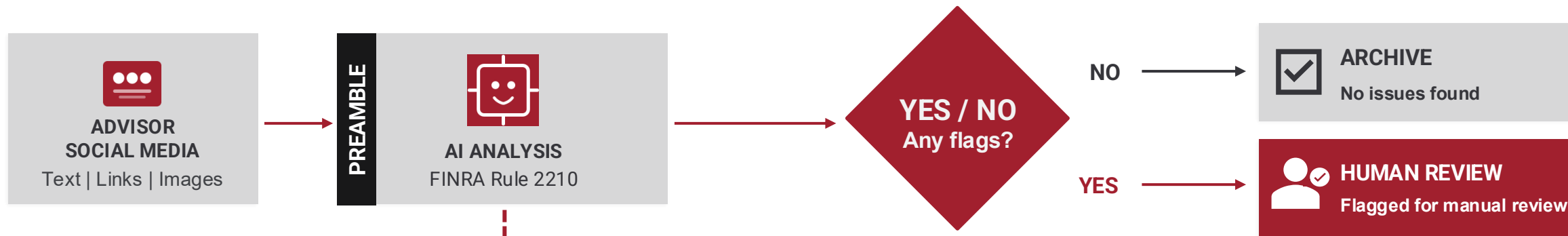
- Introducing MIRA
- New Workflows and Queues



AI in Social Media Compliance



Advisor's Own Social Content



PREAMBLE

System Prompt Provided to AI

You are a compliance analyst specializing in FINRA Rule 2210. Analyze social media posts for compliance with FINRA regulations.

Definitions of key terms relevant to FINRA Rule 2210 and compliance:

Non-securities related: Material not related to investments, equities, securities, or the business of the financial professional under FINRA or SEC rules.

Testimonial: Any statement by a current client about their experience with the investment adviser or their supervised persons that directly or indirectly solicits or refers others to become clients. This includes opinions on service, expertise, performance, character, diligence, judgment, or outside business activities.

Financial professional performance: Related to past investment advice or past rate of return.

Promissory: A statement promising a certain outcome, return, or performance of an investment.

Unwarranted: Not reasonable; lacking basis in reason or fact.

Misleading statement: False or misleading statements that could mislead a reasonable investor when recommending or selling a security or investment. Includes misrepresentations and omissions. FINRA Rule 2210 prohibits false, exaggerated, or misleading statements.

Security: A financial instrument that can be traded to raise capital (e.g., stocks, bonds, investment contracts, notes, derivatives).

Equities: Shares issued by a company representing ownership.

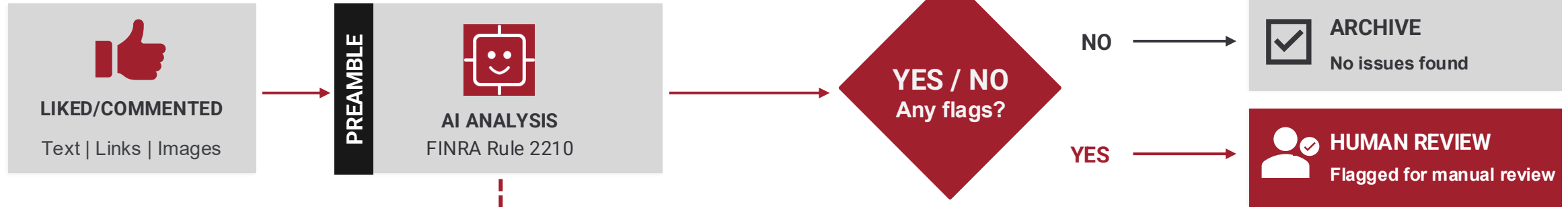
Given the social media post (which may include text, images, and video references), analyze it according to the above Rule and definitions, and answer the following questions with Just Yes or No. No need for explanation or listing questions. Just Question Number and Yes/No

AI SCREENING QUESTIONS

(Determines YES / NO Decision)

1. Does the material name a specific security, equity, or investment strategy recommendation?
2. Does the material mention a general security category(s) not as a general list?
3. Does the material mention awards or honors?
4. Is the material violating fair and balanced guidelines under rule FINRA 2210?
5. Is the material violating fair and balanced guidelines or including untrue statements or omitting material fact under the SEC marketing rule communications that are supposed to be purely educational and nonpromotional?
6. Does the material contain reference to securities and/or financial professional performance?
7. Is this content investment related meaning it is related to investments, equities or securities?
8. Does the content contain any elements that would make it non-generic or promotional and therefore subject to FINRA Rule 2210?
9. Does the content contain a Broker Dealer and/or a registered investment advisor Disclosure?
10. Does the material contain mention of blockchain or cryptocurrency?
11. Does the content include language that disparages or negatively targets any person, protected group, political group, or company?

Third-Party Content (Likes & Comments)



PREAMBLE *System Prompt Provided to AI*

You are a compliance analyst specializing in FINRA Rule 2210. Analyze social media posts that were liked or commented on by a financial advisor for compliance with FINRA regulations.

Definitions of key terms relevant to FINRA Rule 2210 and compliance:

Non-securities related: Material not related to investments, equities, securities, or the business of the financial professional under FINRA or SEC rules.

Testimonial: Any statement by a current client about their experience with the investment adviser or their supervised persons that directly or indirectly solicits or refers others to become clients. This includes opinions on service, expertise, performance, character, diligence, judgment, or outside business activities.

Financial professional performance: Related to past investment advice or past rate of return.

Promissory: A statement promising a certain outcome, return, or performance of an investment.

Unwarranted: Not reasonable; lacking basis in reason or fact.

Misleading statement: False or misleading statements that could mislead a reasonable investor when recommending or selling a security or investment. Includes misrepresentations and omissions. FINRA Rule 2210 prohibits false, exaggerated, or misleading statements.

Security: A financial instrument that can be traded to raise capital (e.g., stocks, bonds, investment contracts, notes, derivatives).

Equities: Shares issued by a company representing ownership.

Given the social media post (which may include text, images, and video references), analyze it according to the above Rule and definitions, and answer the following questions with Just Yes or No. No need for explanation or listing questions. Just Question Number and Yes/No

AI SCREENING QUESTIONS *(Determines YES / NO Decision)*

1. Is the material that the advisor liked or commented on securities related?
2. Does the material contain reference to financial professional performance?
3. Is this content investment related meaning it is related to investments, equities or securities?
4. Does the content contain mention of 1031 exchanges?
5. Does the content include language that disparages or negatively targets any person, protected group, political group, or company?
6. Does the material contain mention of blockchain or cryptocurrency?



“Investors could be underweight small cap, value, and overseas equities, I believe. So check your portfolios, as new leaders have arrived. They may also be overweight tech, but some of it could turn out to be a value trade when oversold.

It’s been “sell anything that can be disrupted by #AI and buy what can’t.” The speculation in gold and silver has taken over crypto and other high beta plays. It’s a fascinating rotation of where investors have shifted their appetite for risk. The trillions in cash and negative sentiment give the bulls some comfort.

Let’s not forget in ‘22 that the #FAANG stocks went down an average of 46% according to ChatGPT. In my opinion, you are not diversified if you own mostly the #S&P500 or worse, the #MAG7. It’s timely for everyone to look at what they own.



Advisor Liked Content



Advisor Comment: LOVE IT!



AI REVIEW

Does the material mention awards or honors?	NO
Is the material that the advisor liked or commented on securities related?	YES
Does the material contain a testimonial, endorsement and/or recommendation?	NO
Does the material contain reference to financial professional performance?	YES
Is this content investment related meaning it is related to investments, equities or securities?	NO
Does the content contain mention of 1031-exchange commonly known as a like-kind exchange or a tax-deferred exchange?	YES
Does the content include language that disparages or negatively targets any person, protected group, political group, or company?	NO
Does the material contain mention of blockchain or cryptocurrency?	YES



AI REVIEW



“The market is flat to start the year, and AI uncertainty is part of the story.

At the same time, capital spending tied to AI is accelerating, with 2026 expectations rising well above earlier forecasts.



As companies invest heavily in infrastructure, we’re watching how that cycle flows through earnings and broader market leadership.

Read our latest AI update and market perspective.

<https://www.website.com/insights/blog/market-commentary-an-artificial-intelligence-update/>

#WeeklyMarketCommentary #weeklymarketupdate
#WeeklyUpdate #weeklynews #weeklynewsletter



Is the material that the advisor liked or commented on securities related?



Is this content investment related meaning it is related to investments, equities or securities?

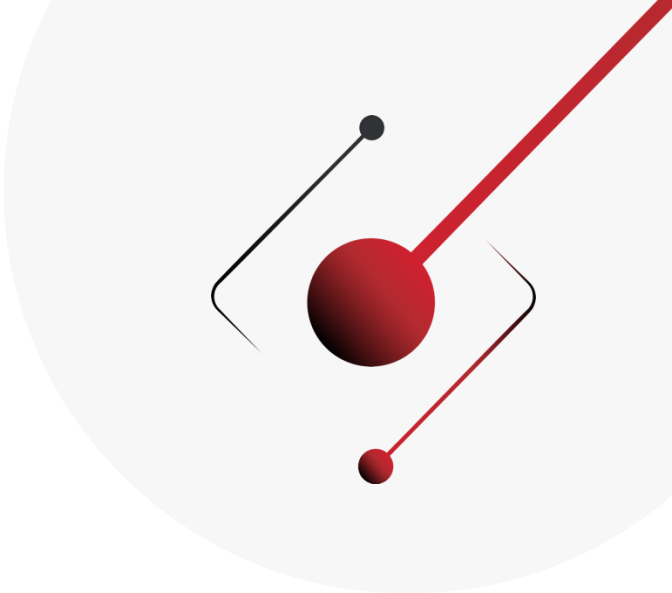
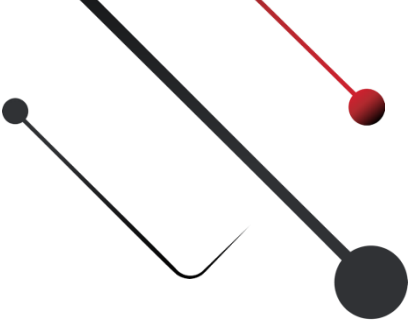


Does the content contain any elements that would make it non-generic or promotional and therefore subject to FINRA Rule 2210?



Does the content contain any elements that would make it non-generic or promotional and therefore subject to FINRA Rule 2210?





AI in eComms

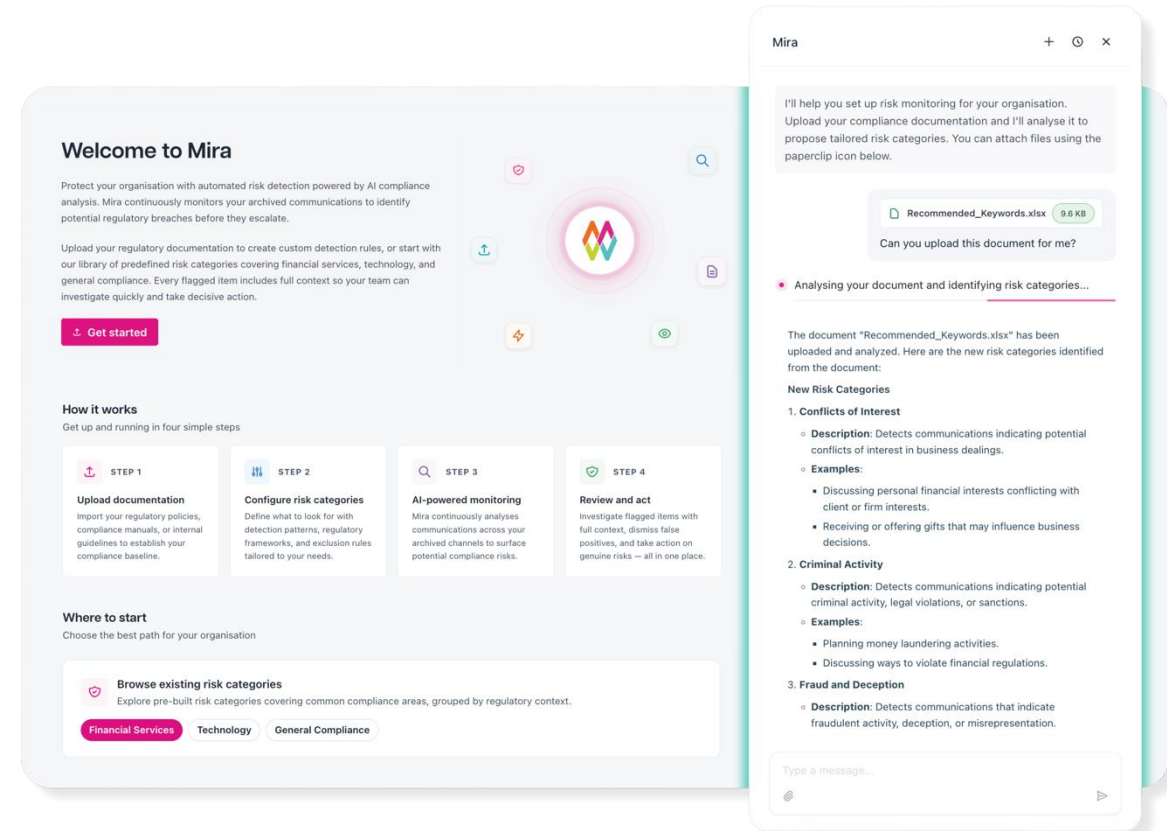


Mira: True AI-Native Supervision Designed Around Your Needs

Mira reads your compliance policies – G&E limits, restricted lists, conduct policies – and supervises against *your* rules, not generic ones. Every flag your compliance reviewers action teaches the Mira agent what good judgement looks like, so the system gets sharper over time without extended, continuous configuration.

Most 'AI' supervision platforms treat AI as a layer added to a legacy review workflow — a smarter filter on the same broken process. Mira is different: the reasoning *is* the system. The result is fewer false positives, higher-confidence escalations, and a compliance team focused on genuine risk.

Red Oak is the AI-native supervision partner built for where your firm is heading, not where it has been.



Questions

ACCELERATE 2026



Thank You

ACCELERATE 2026