

SMART REVIEWSM

Disclosure intelligence
to save time and
reduce risk.



RED OAK
Compliance Solutions



What is Smart ReviewSM

In the world of marketing and compliance reviews, most clients agree that disclosures continue to be a pain point. For marketers and content creators, knowing what disclosures are needed and then finding the most up to date version in a timely manner can be a struggle. This often leads to disclosures being overlooked in the rush to get the piece off to Compliance for review. Compliance is not only challenged with ensuring that the proper disclosures are included as needed, they are also under pressure to review the content as quickly as possible so that marketing can get the piece out for distribution. In addition, Compliance must keep up with the need for disclosures to adapt and change in a timely manner. The benefits of addressing the disclosures process include faster approvals, fewer touches improving efficiency, and reduced regulatory risk.

We believe that since the data needed for disclosures exists in the compliance review of the marketing material, the compliance review tool is the logical place for the solution.

For a disclosures module to be successful, the following areas of disclosure management should be addressed:

- **Single Source Library:** It needs to be the single, gold source library of disclosures that is accessible to marketing and content creators as well as compliance reviewers.
- **Incorporation at Creation:** In order to minimize delays and increase the speed to market of marketing materials, it is imperative that accurate and up to date disclosures are incorporated in the content at the time of creation. It is also important that material not include unneeded disclosures.
- **Accuracy Prior to Distribution:** Lastly but most importantly, it is crucial that the content is approved with the correct disclosures prior to distribution.

Available Options:

To address these areas and the challenges faced by our clients, Red Oak has developed our Smart ReviewSM module which is offered with the following options:

Disclosure Manager

This is Smart Review'sSM base functionality and consists of a centralized disclosure library and management tool that serves as a single source of truth for disclosures. The library component will not only house all disclosures, but also provides importing, exporting, versioning, usage instructions, language variations and a full audit trail of the updates and changes made to each disclosure. Disclosure Manager replaces the manual task of attempting to manage, distribute and version disclosures with spreadsheets.

Smart Review's Disclosure Manager scans uploaded content for disclosures to identify included current or outdated disclosures and serve this up to both the content submitter as well as the compliance reviewers. This reduces time to market and helps reduce risk to the firm.

Disclosure Intelligence

This component builds on Smart Review'sSM Disclosure Manager functionality (which identifies the disclosures on a document), by allowing firms to create deterministic rules for identifying when a disclosure should be on a piece based on the data included for review. Disclosure Intelligence gives clients the ability to further define the required disclosures based on data such as the text in a document, type of content, audience, country and so forth. It also identifies the list of disclosures that should be on a document, as well as any extra disclosures on a document that may not be required based on these rules. This helps to incorporate policies and procedures for increased consistency and efficiency.

Disclosure API

This option gives clients the ability to programmatically access the Disclosure Manager and/or Red Oak's Smart ReviewSM functionality within their favorite content creation tool.

At Red Oak Compliance we understand the challenges that disclosures present for clients. We are committed to adding value for our clients by making the compliance review process as effective and efficient as possible. The Smart ReviewSM module has been developed to not only solve for the storage and maintenance of disclosures, but to take it to the next level by providing for scanning, reporting, and possible integrations to help clients reduce risk, decrease review times, and increase the speed of distribution of marketing materials.

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**To learn more, contact us today at
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