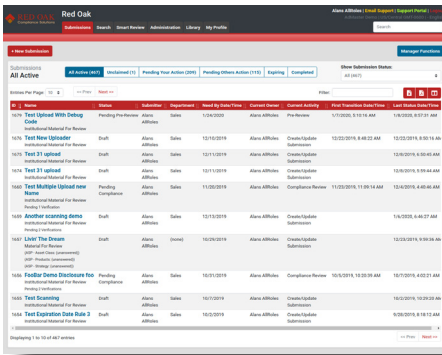




The Industry's Leading Advertising Review Software

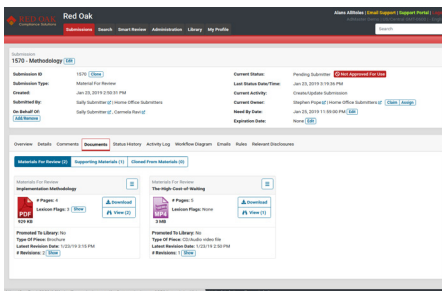
35% Faster Approvals | 70% Fewer Touches | 100% Books and Records

Red Oak is the compliance review platform of choice in the financial services industry with clients having over \$19 trillion in assets under management. Clients range from single state advisers to many of the world's largest asset managers. Discover why the biggest firms in the industry rely on Red Oak to improve their compliance, legal and supervisory review, books and records storage and regulatory reporting.



Features

- Fully SEC 17(a)-4 compliant
- Easy to use
- Consolidate multiple processes
- Reduced turnaround times
- Easily satisfy audits
- Parallel reviews
- Automated deficiency detection
- Full text searching
- On-line annotation
- Smart Review capabilities
- Bi-directional FINRA filing
- REST API for integration
- Notifications and reminders



Leverage Technology to Simplify Your Compliance Review Process

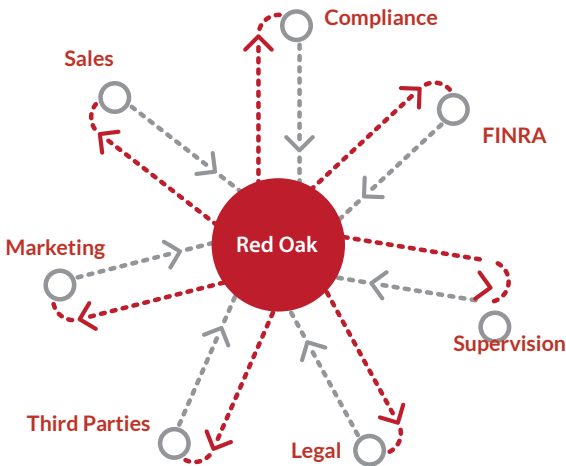
Your staff and advisors will leverage secure web-based technology to submit material for review using our state of the art software that is both implemented and supported by Red Oak's compliance experts.

Relieve Burden

Manage the risk to your firm instead of the process. Eliminate the need for paper and escape the burden of an antiquated and cumbersome in-house system. Automated tracking, record keeping and regulatory reporting give representatives, compliance, marketing, supervision, legal and management excellent visibility.

Improve Efficiency

An effective and efficient automated process benefits you, your compliance team and your firm with increased productivity, standardized tasks and simplification of compliance. Better yet, the ability to mitigate your compliance risks. Our clients report 35% faster approvals and 70% fewer touches, with many experiencing even better results.



We understand that Compliance does not operate in a vacuum. Red Oak works seamlessly with all of the internal departments and external entities you must engage to be fully compliant. It turns many moving parts into a well-oiled machine.

Designed by Experts

Red Oak's proprietary software was designed and built by a team of financial services compliance experts.

Emphasis on Usability

Our entire team is focused on ease-of-use. The user-interface of Red Oak has been carefully designed to ensure that it takes the least amount of time possible for users to accomplish the task at hand.

- Completely cloud-based SaaS offering
- Built on the latest technologies and standards
- All major browsers supported
- Responsive layout
- Attractive, modern look and feel
- Highly configurable
- Flexible workflow and question definitions
- Built in reports track productivity
- Video and audio streaming
- Single sign on

Implementation

Our team of dedicated implementation specialists will work with you every step of the way to ensure a successful and timely implementation with minimal disruption to your schedule.

Pricing

Red Oak's price is based on the number of new submissions created making it affordable for all firms, no matter their size

- Monthly contract
- No hidden fees
- Volume based

Recommendations:

"I love working with your team. They are always so responsive, helpful and insightful and make my experience with Red Oak first class. Thank you."

- **Derrick Vermillion**
Chief Compliance Officer
Impact Partnership

"I can't tell you how pleased I am. Red Oak has made my job so much easier!"

- **Tom Kennedy**
Compliance Executive Director
Waddell & Reed and Ivy Funds

"We are very pleased with our decision to use Red Oak. With Red Oak, our Compliance team does not need to involve our IT team for tasks such as: creating spreadsheets linking to the bulk export of documents, administration of users or customizing data entry fields.

I highly recommend Red Oak given my experience and their high quality of service."

- **Lauri Friel**
Director of Compliance
CNL Securities



Please contact us to discuss the benefits of using Red Oak to rock your compliance review world.

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sales@redoakcompliance.com to discuss your needs.



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