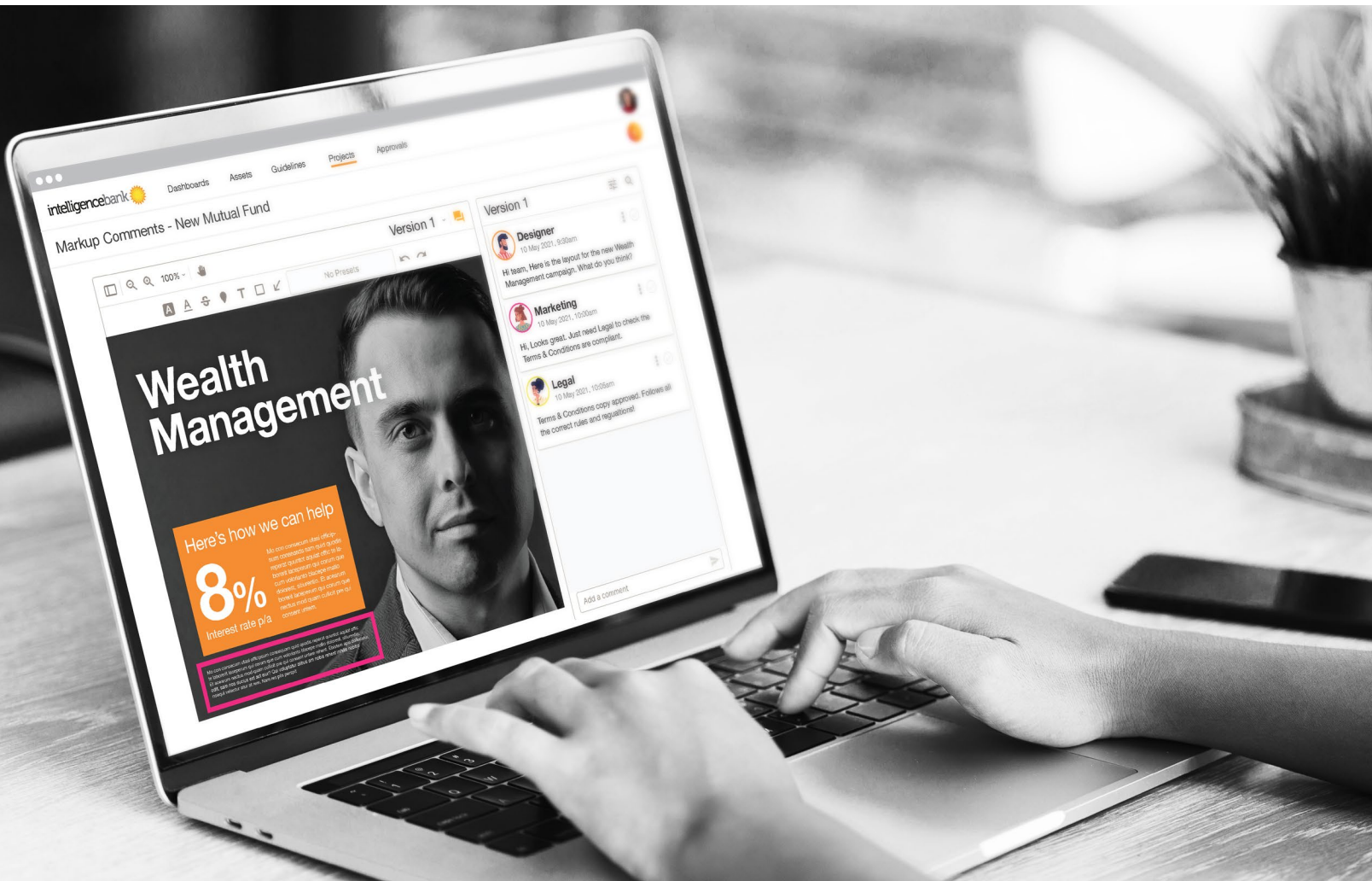


FINRA Marketing Compliance Starts with IntelligenceBank



Bridging the gap between marketing and compliance

There's always a balance marketers need to strike when creating marketing materials for investment products and services - getting beautifully designed, great work out to market quickly, while adhering to FINRA compliance.

The two are often at odds, and to ensure investment services brands get it right every time, IntelligenceBank's marketing operations software helps streamline the creative production process and ensures there is a robust audit trail for reporting and submissions to FINRA.

By **bridging the gap** between those in creative and marketing roles with FINRA compliance managers, creative approvals that used to be captured in emails, messaging apps and spreadsheets can now be captured in a **single system**. This means you have more accurate data, a process all staff and agencies can easily follow and can avoid costly mistakes.

Here's how IntelligenceBank makes a complex process simple.



Brief in projects with FINRA submission due dates

All great creative starts with a brief. And in the creative brief within IntelligenceBank, you can specify due dates and set alerts as to when finished creative needs to be submitted to FINRA. Depending on the type of product you are marketing, you can also automatically flag which projects are subject to FINRA compliance from the start.

The screenshot shows the 'Creative Briefs' form in the IntelligenceBank interface. The form is titled 'Creative Briefs' and has a 'SUBMIT' button at the bottom. The form fields are as follows:

- Name of Project:** New Mutual Fund
- Media:** TV, Print, PDS, Social
- New Product to Market?:** Yes No
- Distributed by Brokers?:** Yes No
- In Market Date:** January 1
- Estimated Media Spend:** \$2.5M

The form also includes a 'Brief Details' tab and an 'Assets' section with two images of people. A note at the top right of the form states: 'Value will be auto-generated once the record is created on submit'.

Approve, markup up and escalate content that needs FINRA review

Stop the chaos and make approving creative easier than ever. With easy to use workflows and proofing, streamline your content approval processes so you have an auditable trail of who approved what, when and why.

The screenshot displays the 'intelligencebank' web application interface. The top navigation bar includes 'Dashboards', 'Assets', 'Guidelines', 'Projects', and 'Approvals'. The current page is titled 'Markup Comments - New Mutual Fund'. The main content area shows a 'Version 1' of a 'Wealth Management' advertisement. The ad features a man's face, the text 'Wealth Management', and a call to action: 'Here's how we can help' with '8% Interest rate p/a'. A pink box highlights a small text block at the bottom of the ad. To the right, a comment thread for 'Version 1' shows three users: 'Designer' (10 May 2021, 9:30am), 'Marketing' (10 May 2021, 10:00am), and 'Legal' (10 May 2021, 10:05am). The 'Legal' comment states: 'Terms & Conditions copy approved. Follows all the correct rules and regulations!'. An 'Add a comment' input field is at the bottom of the comment thread.

Include SEC marketing compliance checklists during final approval process

Before creative is distributed, ensure your team has an interactive checklist to also comply with SEC marketing compliance standards. For instance, linking an SEC Marketing Compliance Form to your final approvals will help to ensure your team adheres to SEC marketing guidelines.

The image displays two overlapping screenshots of the 'SEC Marketing Compliance Checklist' form within the 'intelligencebank' application. The interface includes a navigation bar with 'Dashboards', 'Assets', 'Guidelines', 'Projects', and 'Approvals' tabs, and a user profile icon in the top right corner.

Left Screenshot (Top Half of Form):

- Have all material facts been included? Yes No
- Has information been included that would cause an untrue implication? Yes No
- Have you featured a potential benefit without providing fair and balanced risk? Yes No
- Have you presented performance time periods in a manner that is fair and balanced? Yes No
- Are you using a Testimonial? Yes No
- Is the person being promoted a client and have they been compensated? Yes No

Right Screenshot (Bottom Half of Form):

- What is the name of the endorser?
John Smith, Client + Upload Image
- Please upload the Endorser's written agreement and payment terms
John Smith Talent Release and Endorsement Form Upload
- Do you confirm the endorser is not a bad actor? Yes No
- Have third party ratings been used? Yes No
- If you have included gross performance, has net performance been featured?
NA
- Are performance results hypothetical? Yes No

Buttons: CANCEL, SUBMIT

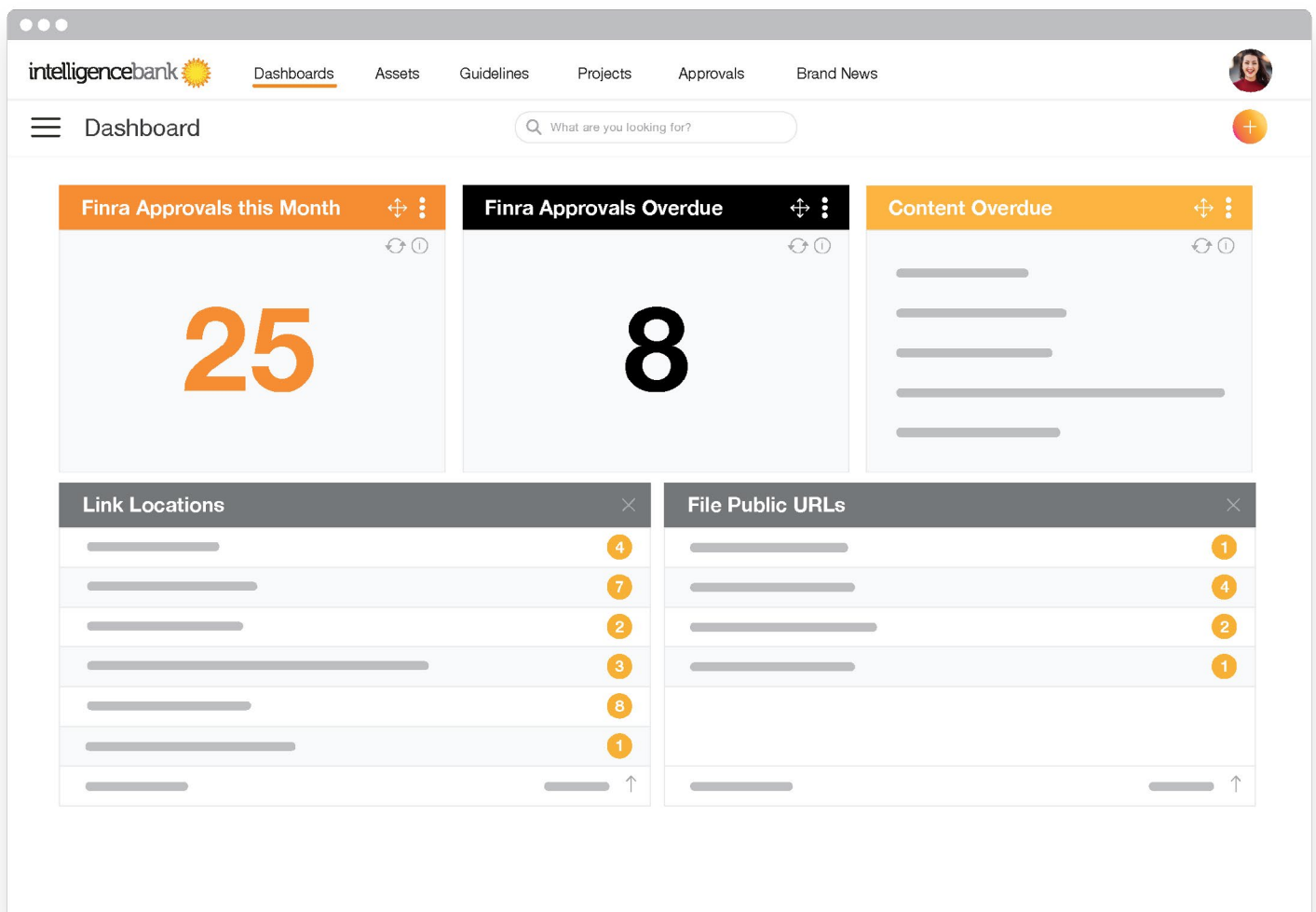
Manage and control your approved content

Kiss shared drives goodbye and manage your approved content in a **digital asset management** tool that makes it easy to tag files, search and distribute advertised content both internally and with regulators. Score content based on risk profile and elevate approvals based on conditions you set.

The screenshot displays the 'intelligencebank' digital asset management interface. At the top, there is a navigation bar with tabs for 'Dashboards', 'Assets', 'Guidelines', 'Projects' (which is active), and 'Approvals'. A user profile icon is visible in the top right corner. Below the navigation bar, the page title is 'Creative Briefs'. On the left side, there is a 'Filter:' section with 'Finra Submitted' selected. The main content area shows a grid of six creatives, each with a 'Wealth Management' header, a sub-header 'Here's how we can help', and a prominent '8%' interest rate. The creatives are arranged in two rows of three. Each creative has a caption below it, such as 'Wealth Management Press 1' and 'Size: A5 - 148x210', along with a download icon.

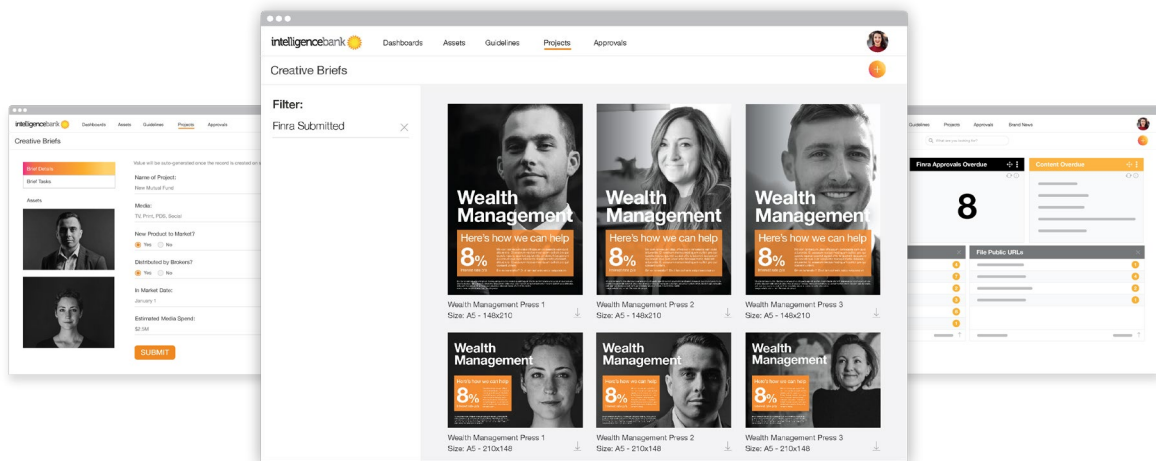
Instantly run custom reports on approvals, reporting dates for FINRA and overdue content

Never miss a deadline with granular dashboards and custom reports to automatically showcase approvals related to FINRA compliance.



Advance your digital transformation journey

IntelligenceBank Digital Asset Management and Marketing Operations Software is used by leading brands worldwide. Our unique workflows help move content through the marketing compliance process so you can get work done faster, have an audit trail of approvals, track what's important and stay compliant.



To step up your marketing with consistent content while keeping everything compliant and efficient, contact us. We'll share best practices for optimization, creation, distribution and management of all your marketing content.

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