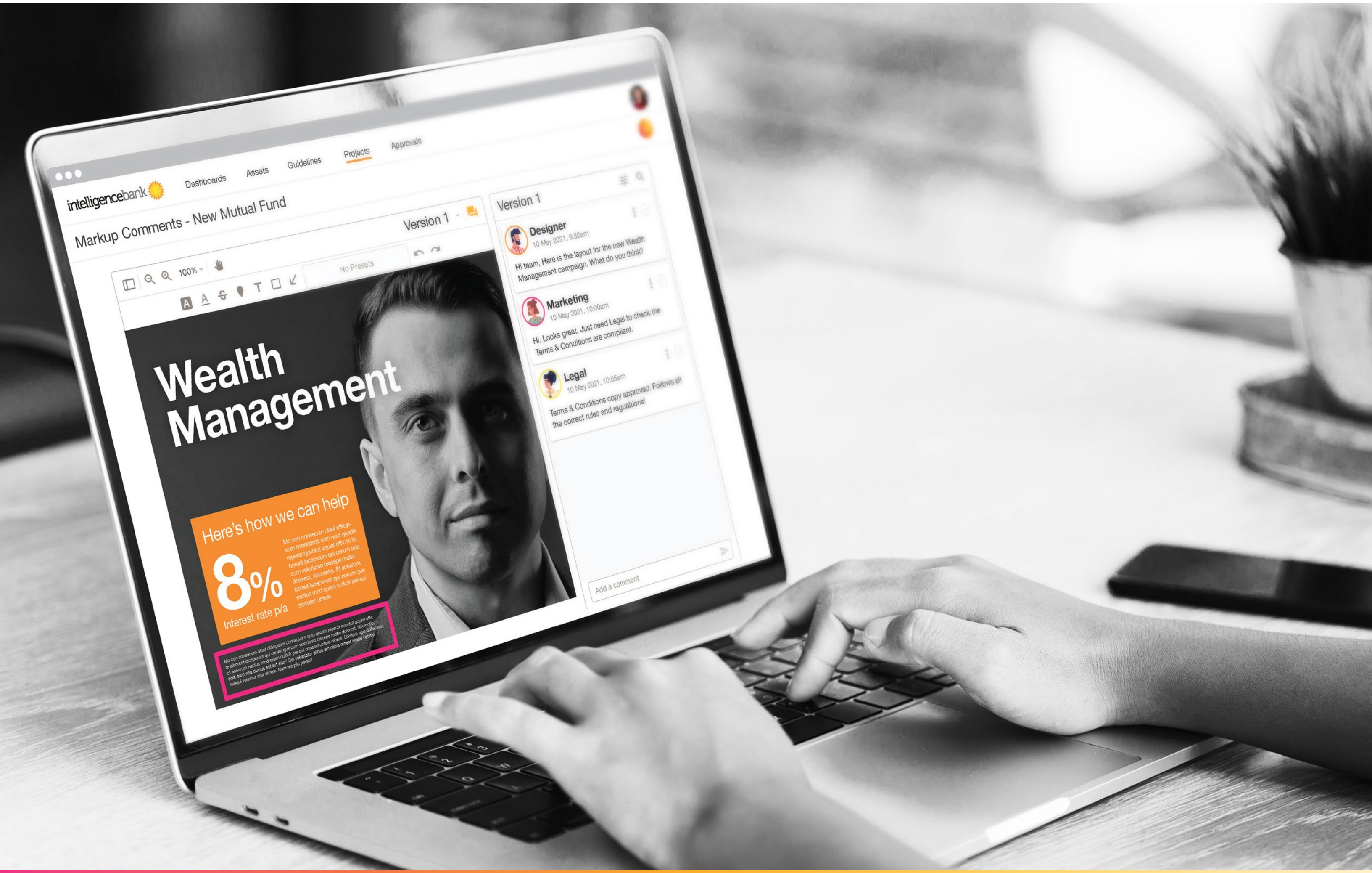
intelligencebank
make.work.seem.less

FINRA Marketing Compliance Starts with IntelligenceBank



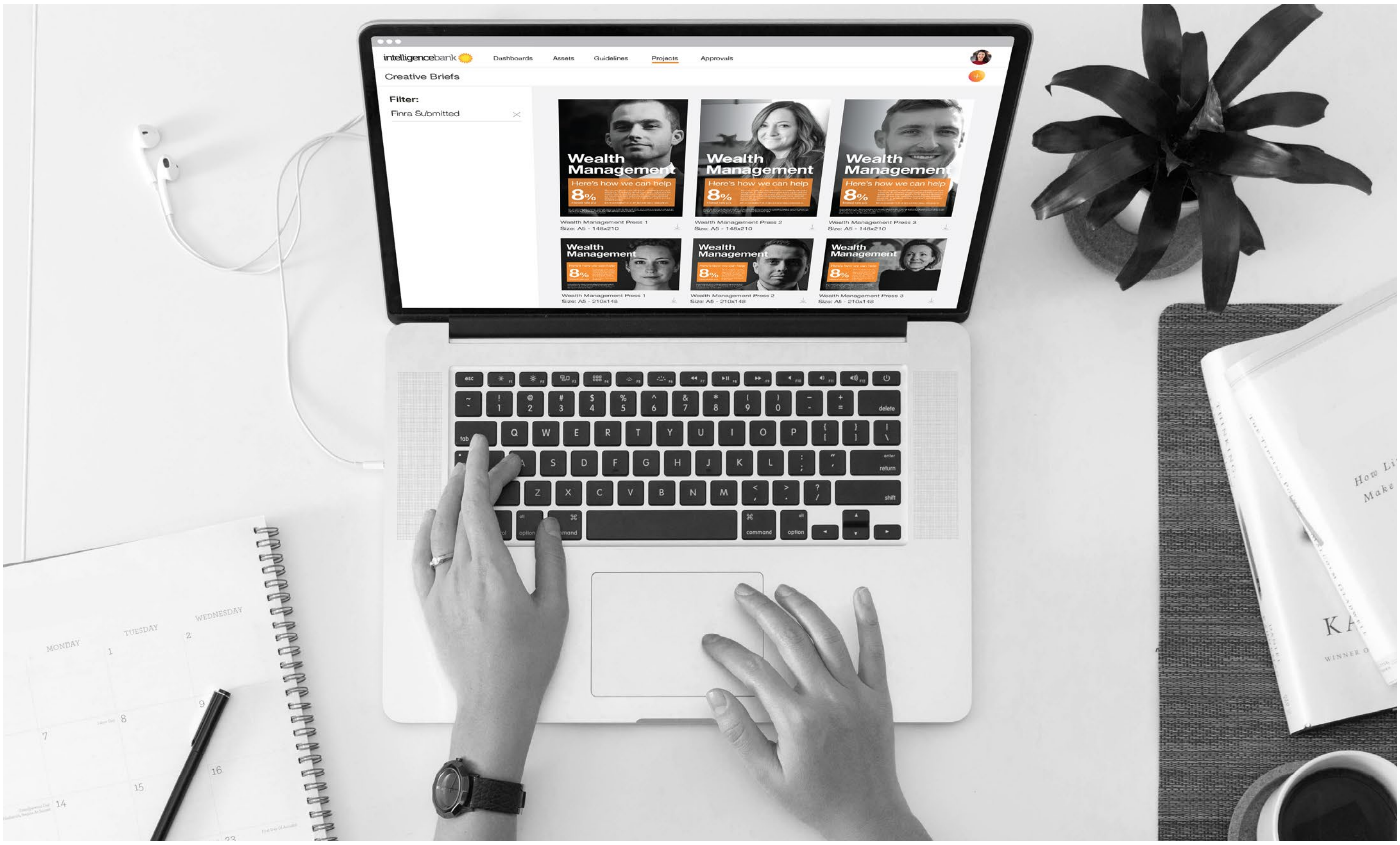
Bridging the gap between marketing and compliance

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.

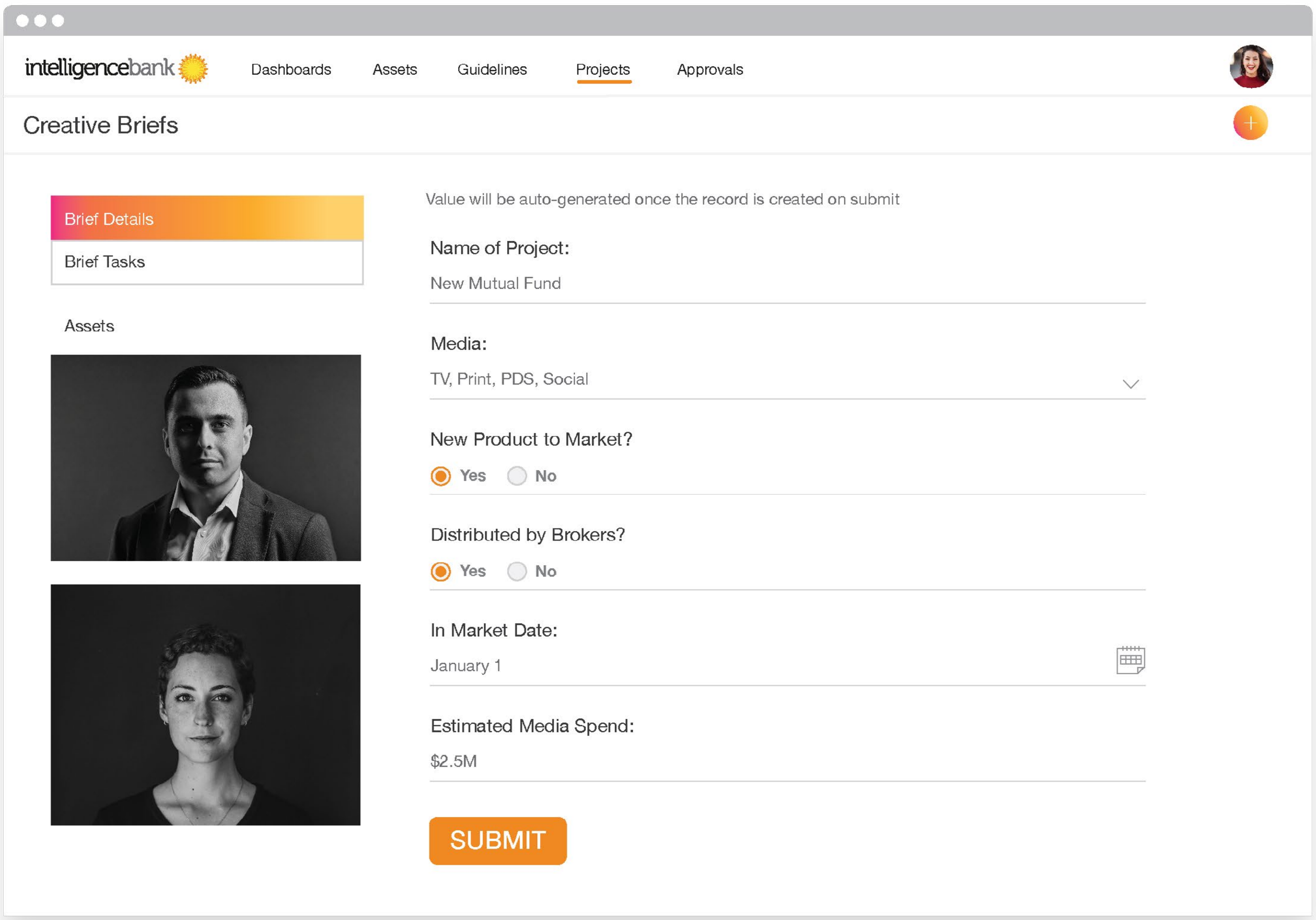
By **bridging the gap** between those in creative and marketing roles with FINRA compliance managers, creative approvals that used to be captured in emails, messaging apps and spreadsheets can now be **captured in a single system.** This means you have more accurate data, a process all staff and agencies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

Here's how IntelligenceBank makes a complex process simple.



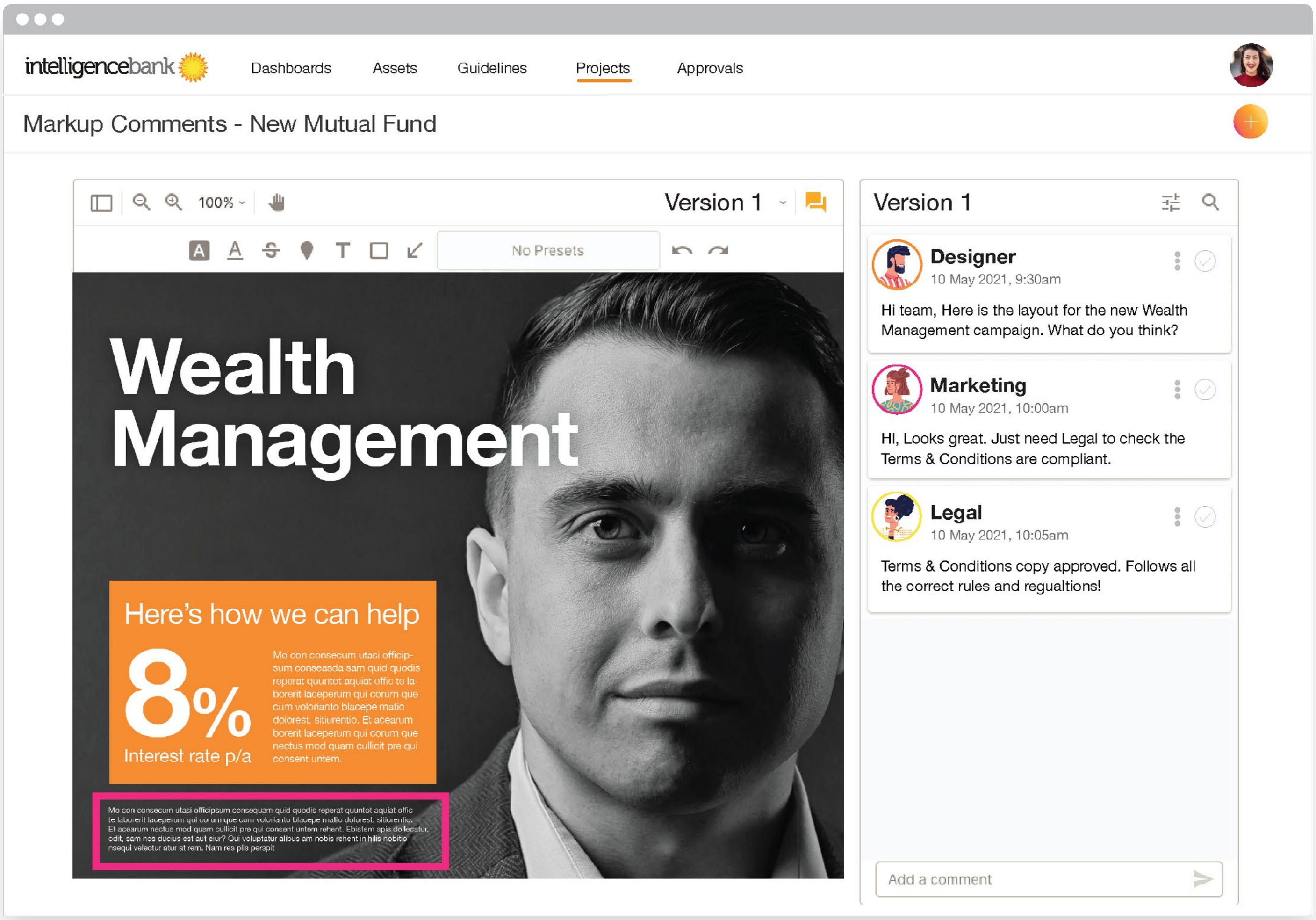
Brief in projects with FINRA submission due dates

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.



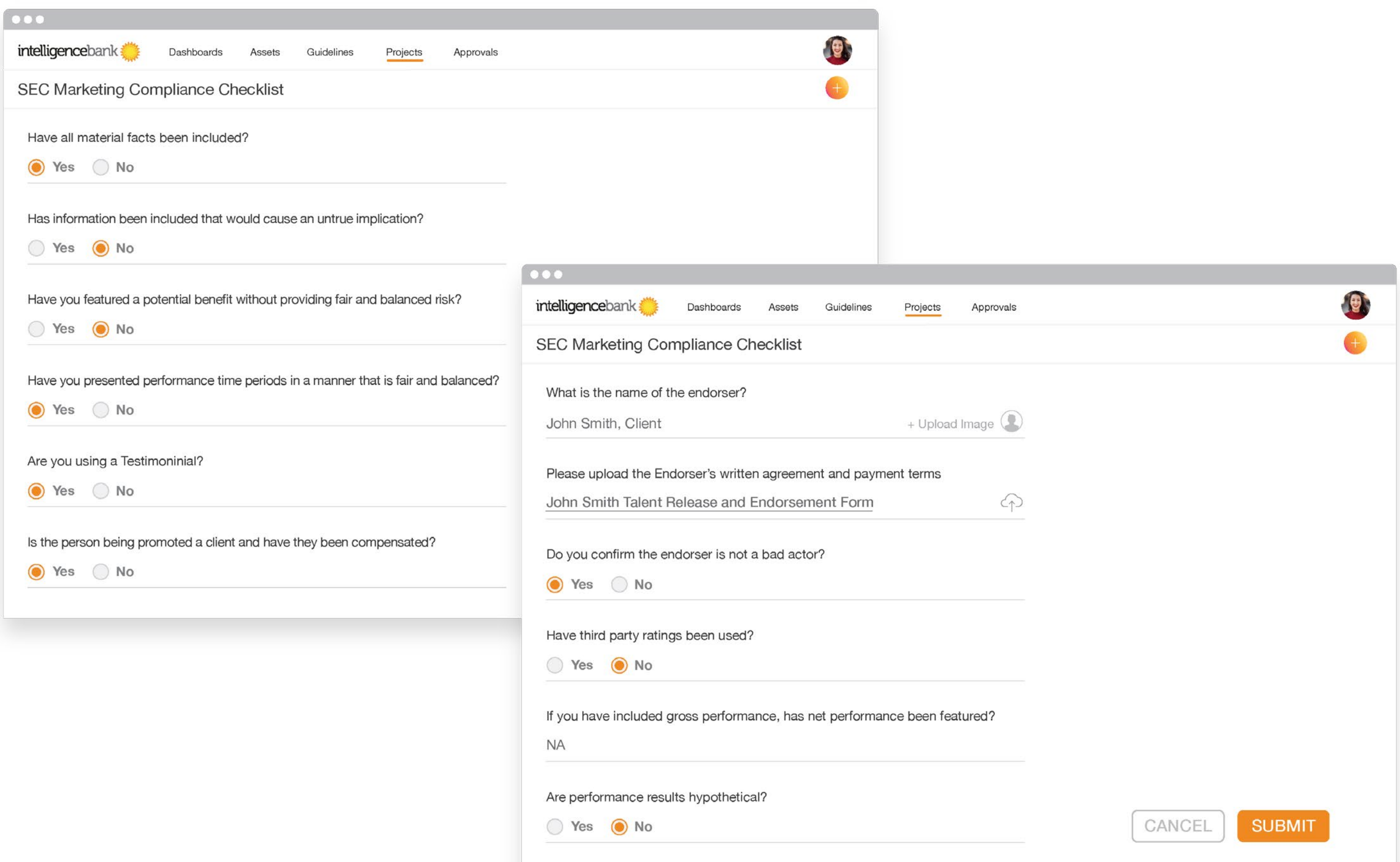
Approve, markup up and escalate content that needs FINRA review

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.



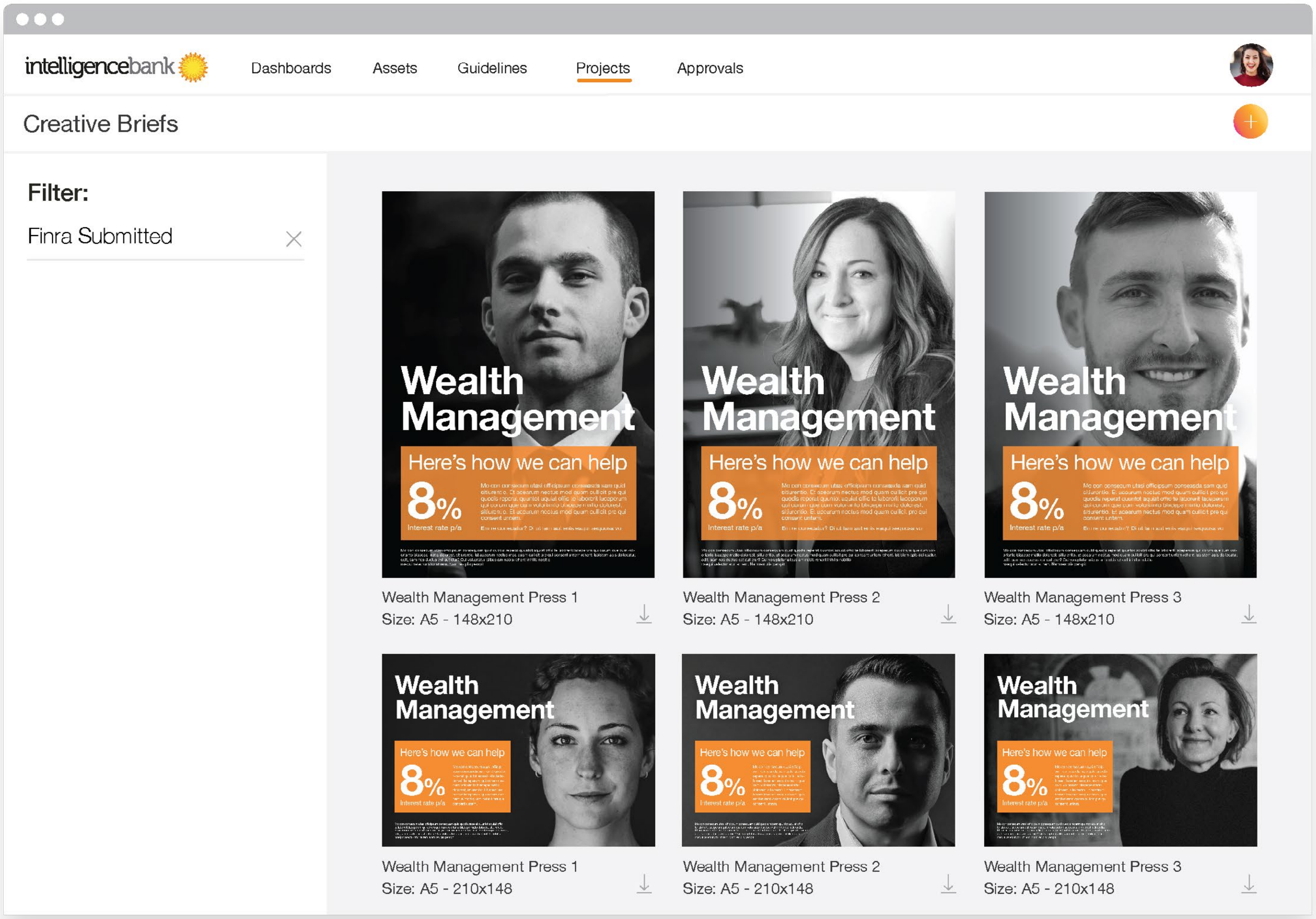
Include SEC marketing compliance checklists during final approval process

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.



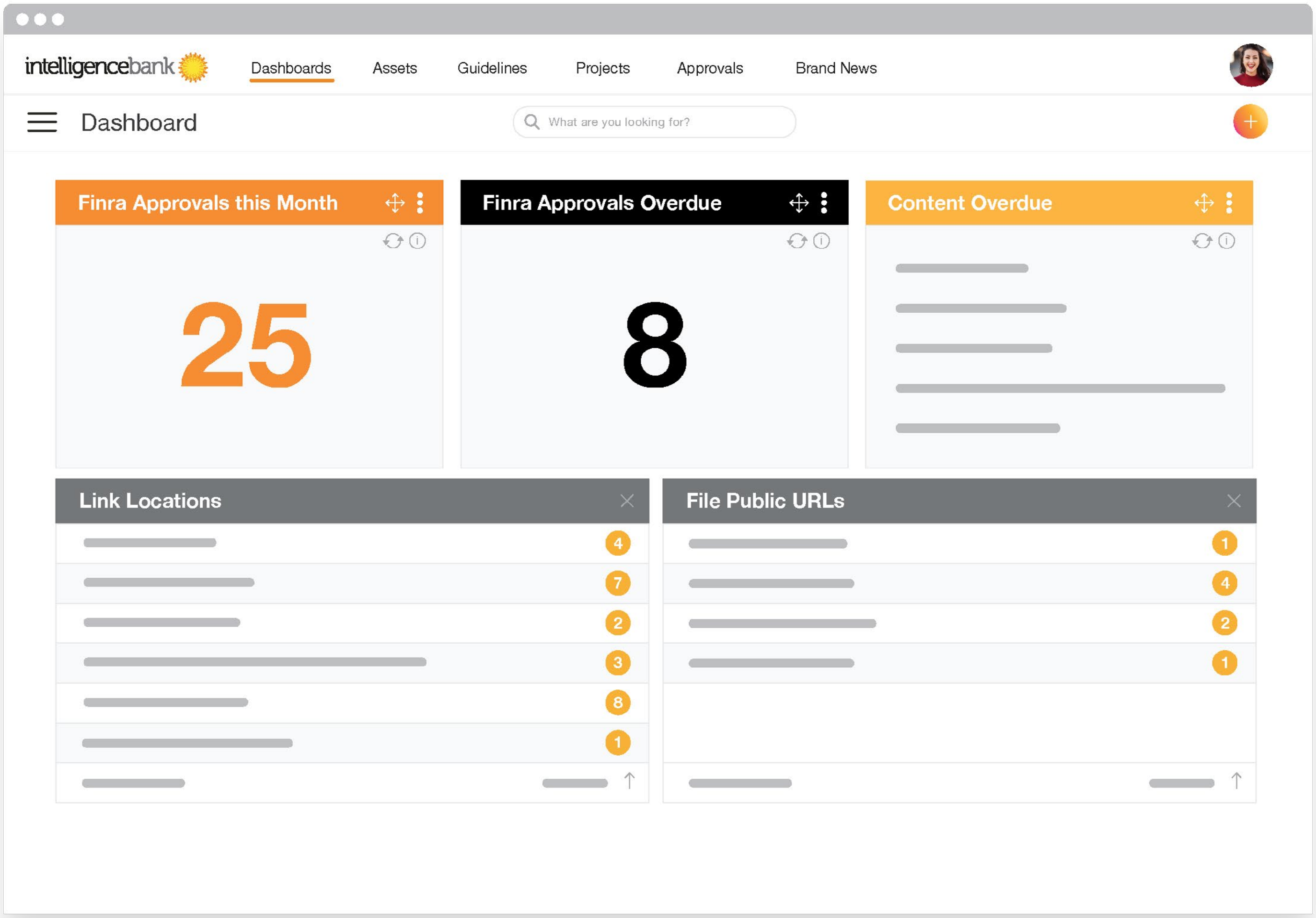
Manage and control your approved content

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.



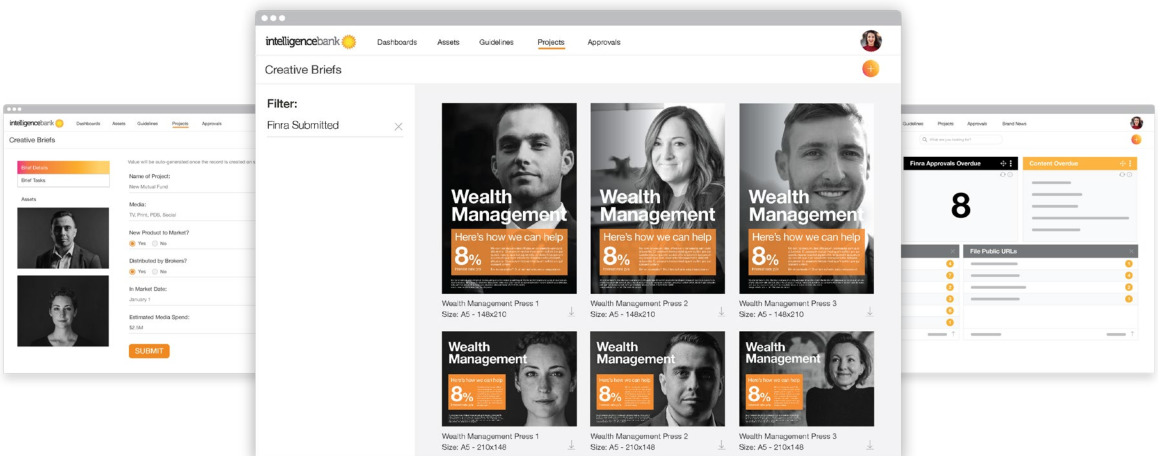
Instantly run custom reports on approvals, reporting dates for FINRA and overdue content

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.

ask@intelligencebank.com

United States / Canada (855) 241-0150

APAC +61 3 8618 7800