

# DISCLOSURE MANAGEMENT & INTELLIGENCE

Powered by AI to centralize and effectively manage regulatory disclosures for greater process efficiency and accuracy.



## What is Disclosure Management & Intelligence?

Most clients agree that disclosures continue to be a pain point in the world of marketing and compliance reviews. Knowing what disclosures are needed and then finding the most up-to-date version promptly can be difficult for marketers and content creators. This often leads to disclosures being overlooked in a 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, improved 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 accessible to marketing and content creators and 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 into the content at the time of creation. It is also important that material not include unneeded disclosures.
- **Accuracy Prior to Distribution:** Lastly, it is crucial that the content is approved with the correct disclosures before distribution.

Whatever type of content you're creating -- ESG, private funds, mutual funds, ETFs, insurance or anything else on your product shelf -- our intelligent and configurable workflows can discern those qualifiers and automatically place the proper disclosure on your materials based on the rules you define. It also includes the ability to scan across multiple languages. Our software can support the following document types and more:

- Prospectus'
- Fact Sheets
- Pitch Decks
- Product Briefs
- Quarterly Reports
- Annual Reports
- Investor Guides
- Commentaries
- Shareholder Reports
- Whitepapers
- and Many More

# AVAILABLE OPTIONS

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## DISCLOSURE MANAGER

The base functionality of the Disclosure Manager module consists of a centralized disclosure library and management tool that serves as a single source of truth for disclosures. The library component will house all disclosures and provide 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.

It 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 our 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 and 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 functionality within their favorite content creation tool.

At Red Oak Compliance, we understand the challenges that disclosures present for clients and are committed to adding value for our clients by making the compliance review process as effective and efficient as possible. The Disclosure Management and Intelligence modules have been developed to not only solve 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.

**Ready for more effective compliance processes?  
Contact us today.**

**888-302-4594**

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