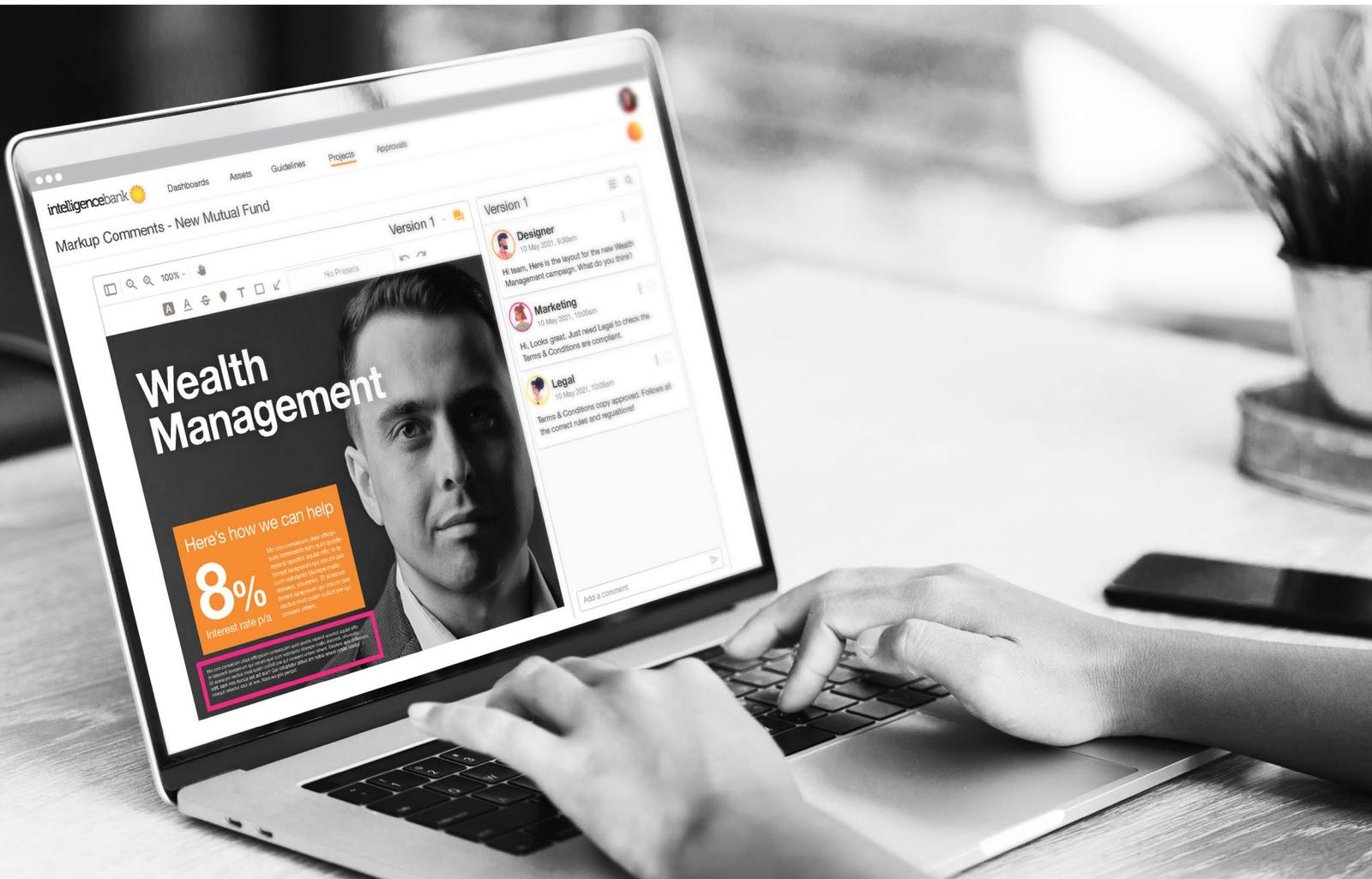


# FINRA Marketing Compliance Starts with IntelligenceBank



# 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 navigation bar with 'Dashboards', 'Assets', 'Guidelines', 'Projects', and 'Approvals'. The 'Projects' tab is selected. The form is divided into two main sections: 'Brief Details' and 'Brief Tasks'. The 'Brief Details' section contains the following fields:

- 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

A 'SUBMIT' button is located at the bottom of the form. The 'Assets' section on the left shows two placeholder images for assets.

# 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 document with a rich text editor toolbar. The document features a large 'Wealth Management' headline, a sub-headline 'Here's how we can help', and a prominent '8% Interest rate p/a' callout. A pink rectangular box highlights a small block of placeholder text at the bottom left of the document. On the right side, a 'Version 1' comment panel lists three users: 'Designer' (commented at 9:30am), 'Marketing' (commented at 10:00am), and 'Legal' (commented at 10:05am). Each user's comment is visible, and the 'Legal' comment includes the text: 'Terms & Conditions copy approved. Follows all the correct rules and regulations!'. At the bottom of the comment panel is an 'Add a comment' input field.

# 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):**

- 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):**

- 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

At the bottom right of the right screenshot are two buttons: 'CANCEL' and 'SUBMIT'.

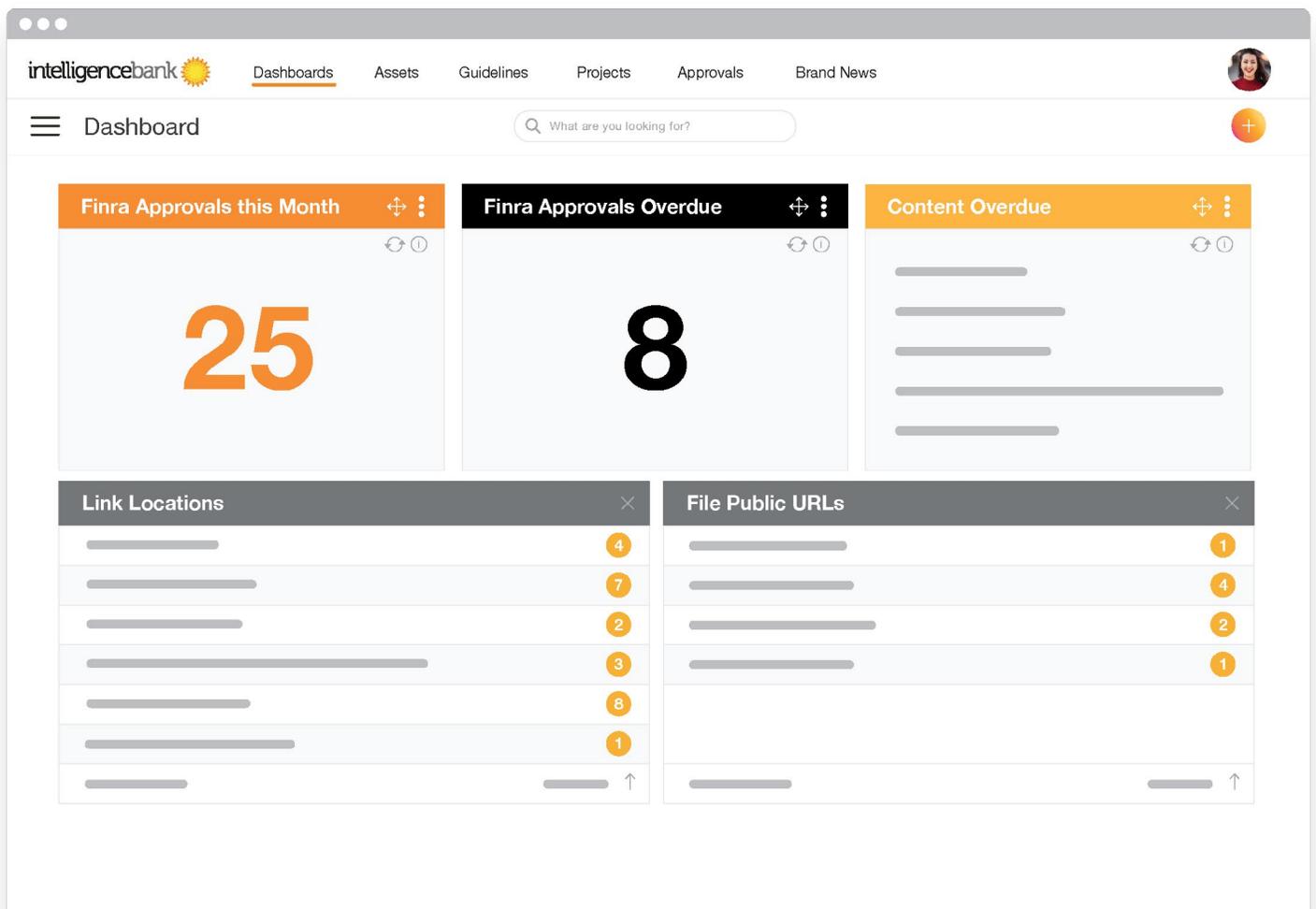
# Manage and control your approved content

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. The top navigation bar includes 'Dashboards', 'Assets', 'Guidelines', 'Projects', and 'Approvals'. A user profile icon is visible in the top right. The main content area is titled 'Creative Briefs' and features a filter sidebar on the left with the text 'Filter: Finra Submitted'. The main grid contains six creatives, each with a 'Wealth Management' header, a sub-header 'Here's how we can help', and a prominent '8%' interest rate graphic. 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', followed by a download icon.

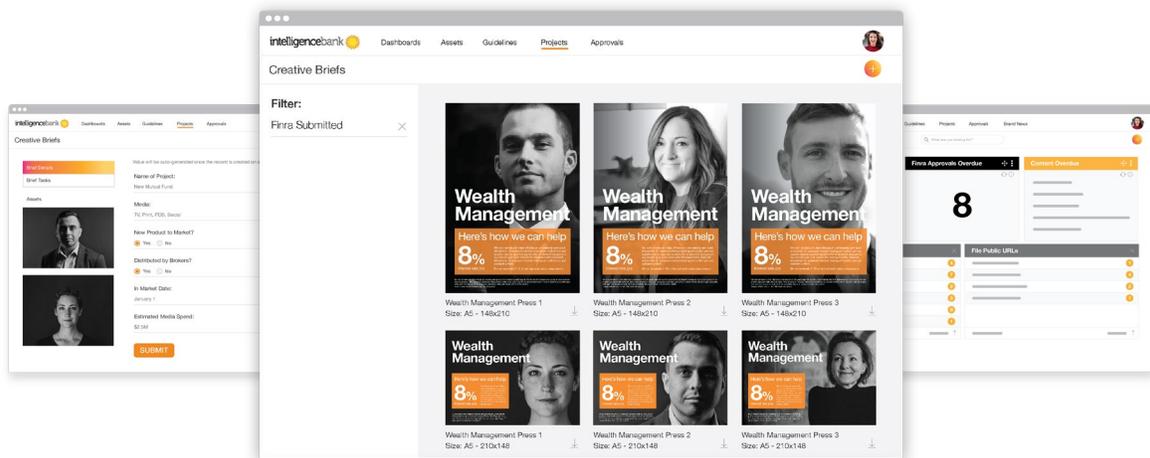
# Instantly run custom reports on approvals, reporting dates for FINRA and overdue content

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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