

SaifrReview®

Streamline compliance reviews with an AI-powered enterprise workflow solution.

Compliance is all about protecting investors—and we're all about compliance

Compliance with financial regulations is paramount if you want to avoid brand damage and multi-million-dollar fines from the SEC and FINRA. But it's also a lot of work. Content reviews can strain collaboration, introduce recordkeeping obstacles, and slow time to market, creating headaches for compliance and marketing teams alike.

It doesn't have to be that way! SaifrReview is an intuitive workflow solution that centralizes content review, boosts efficiency, and mitigates regulatory risk. Using artificial intelligence (AI), SaifrReview helps you create more compliant, marketing-optimized content up to 10x faster and streamline the content creation, approval, and filing processes. The result is a less painful compliance review that's simpler, faster, and more accurate.



Mitigate risk & streamline approvals

SaifrReview analyzes all your marketing content:

- ✓ Text
- ✓ Image
- ✓ Audio
- ✓ Video

AI-powered risk detection

quickly surfaces content that may be problematic and explains why

Suggestions  
"This fund provides general peace of mind and is the right mix of investments to help you sleep well at night."

NotBalanced Promissory



Gold nest egg: graphics that suggest investments will always be successful may be prohibited. Update or make sure it is appropriate for use.



Promissory Image

AI-generated suggestions

for less risky phrasing to help you get to a cleaner draft sooner

Suggestions  
This fund provides a sense of security and its investments may help you feel more at ease.

Disclosure recommendations

sourced from your own library by AI help ensure compliance

Submission  Event history  Attachments  Disclosures  Version history

- SGD883 - Investing Risk - General (Short Version)
- SGD1097 - Broker-Dealer Member Name and Address - {(Broker-Dealer Firm)} (Spanish)
- ID29 - Education Disclosure
- ID23 - Investing Risk General
- ID49 - General Tax Disclosure
- ID53 - Inflation Protected Debt Securities Risk - e.g. TIPS



Real-time collaboration reduces back-and-forth between all stakeholders. **Intuitive workflow** makes handoffs fast, easy, and effective. **Compliance scores** for each document can show you where to focus. **Marketing insights** enable you to optimize content for your target audience.



SaifrReview is designed to adhere to financial services marketing regulations:

- ✓ FINRA 2210
- ✓ SEC 482
- ✓ SEC Modernized Marketing Rule
- ✓ And similar rules



Compliance features help detect regulatory risks:

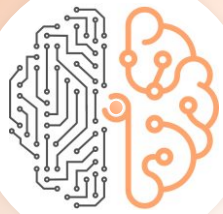
- Non-compliant language: promissory, misleading, exaggerated, unwarranted, or not fair or balanced
- Non-compliant images
- Comparison, ranking, and rating claims
- Investment performance claims
- Testimonials
- References to tax-free or tax-exempt income



Marketing optimization features score content based on:

- Sentiment
- Readability level
- Inclusive language

saifr®



Let us help you simplify compliance

Broker-dealers

Registered investment advisors

Asset managers

Marketing teams

can create more compliant content from the start to minimize back-and-forth with compliance.

Compliance teams

can mitigate regulatory risk by uncovering risks early and reducing rounds of review.

They say you can't have it all – we don't agree

- ✓ AI-powered compliance risk detection
- ✓ More compliant language suggestions
- ✓ Explanation of risk of flagged content
- ✓ Non-compliant image detection
- ✓ Video transcription & review
- ✓ Disclosure recommendations
- ✓ Custom disclosure library
- ✓ Customized risk calibration
- ✓ Real-time collaboration
- ✓ In-line editing
- ✓ Marketing insights
- ✓ Robust auditing & reporting
- ✓ Ability to file with FINRA
- ✓ Enterprise data security
- ✓ 17a-4 compliant recordkeeping
- ✓ SOC 2 Type 2 certified

Transform compliance from a drag to a dream with SaifrReview



Reduced risk exposure: Use AI as an extra expert reviewer and keep up with evolving regulations more easily.



Efficient reviews: Develop more compliant content sooner for quicker approval and faster time to market.



Enhanced teamwork: Real-time collaboration in a single software tool enables faster feedback between teams.



Audit trail: Comments and changes can be tracked to maintain version control and are available for auditing/reporting.

Ready to make compliance reviews faster and easier?

We'd be happy to give you a personalized demo.

[Request a demo](#)

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Screenshots are for illustrative purposes only. Please note that all compliance responsibilities remain solely those of the end user(s) and that certain communications may require review and approval by properly licensed individuals. Fidelity is not responsible for determining compliance with rules and will not be liable for actions taken or not taken based on Saifr's products and services. 1114074.2.0

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