



COMMUNICATIONS
REVIEW USER GUIDE



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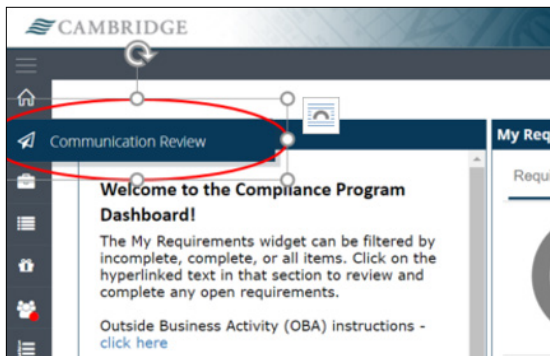
1.0 COMMUNICATIONS REVIEW OVERVIEW

Communications Review is an online application for submitting, routing, reviewing, and tracking materials that maximizes efficiency and eliminates paperwork by electronically routing review items to the right person. Reviewers can then review the item, make revisions, or assign a review decision to an item before sending their comments back to the submitter. It provides reviewers with the tools needed to eliminate unnecessary paperwork.

2.0 HOW TO ACCESS AND NAVIGATE THE COMMUNICATIONS REVIEW TOOL

2.1 Accessing Communications Review

The Communications Review Tool may be accessed via single sign-on (SSO) from cir2.com by selecting **Communications Review** from the Tool Grid. Once in RegEd, select the paper airplane icon on the left-hand side of the menu options to access the tool.



Administrative staff members must have a [CLIC® Enrollment Form](#) on file to submit on behalf of a financial professional.

2.2 Communications Review Menu Bar

Across the top of each web page, a menu bar provides links to the various Communications Review functionality.

- **Worklist**
The Worklist serves as a dashboard for each individual user. Select **Settings – Worklist Management** to customize the Worklist header columns.

The screenshot shows a 'Worklist' application interface. At the top, there are navigation tabs: 'Worklist', 'Submit Request', 'Active Requests', 'Search', and 'Settings'. A 'Submit request' button is in the top right. Below the tabs, there are sub-tabs: 'My Queue', 'My Items', and 'FINRA'. The main content is divided into two sections: 'Claimed' and 'Available'.

Claimed Section: Includes a search bar, a 'Unclaim Selected' button, and an 'Export to CSV' button. The table below has columns: Priority, Tracking #, Due Date, Date Submitted, Format, Status, Submitter, Title, Date of First Use, and Product(s). It contains 6 rows of data.

Priority	Tracking #	Due Date	Date Submitted	Format	Status	Submitter	Title	Date of First Use	Product(s)
1	1728613.1	03/14/2017	03/07/2017	Business Card	Assign to Subject Matter Expert	Rep Floyd	Business Card with Update Title	03/09/2017	529 Plans
1	2232449.2	09/18/2018	09/11/2018	Brochure	Compliance Review	Ann Robinson	Automatic Investing Brochure	10/01/2018	
2	2059061.2	03/22/2018	03/15/2018	Brochure	Revise and Resubmit	John Ris	New Firm Brochure	05/01/2018	
2	2340929.1	09/18/2018	09/12/2018	Newsletter	Compliance Review	John Ris	Multi File	09/19/2018	
1	2169729.1	07/12/2018	07/05/2018	Business Card	Send to Additional Reviewers	John Ris	New	07/06/2018	
1	2382858.1	10/24/2018	10/17/2018	Invitation	Compliance Review 1	Ann Robinson	New Invite	11/01/2018	Bonds/Mutual Funds

At the bottom of the 'Claimed' section, it says '25 items per page' and 'Showing 1 to 6 of 6 entries'.

Available Section: Includes a search bar, a 'Claim Selected' button, and an 'Export to CSV' button. The table below has the same columns as the 'Claimed' section. It contains 6 rows of data.

Priority	Tracking #	Due Date	Date Submitted	Format	Status	Submitter	Title	Date of First Use	Product(s)
2	649057.1	04/17/2013	04/10/2013	Business Card	Compliance Review	Rep Hobson	Cards for new VP of Sales	04/22/2013	Variable Annuities
1	2304815.1	01/02/2019	12/06/2018	Brochure	Compliance Review	Allen Sellars	Submission Example	01/04/2019	CD's
1	2304810.1	01/04/2019	12/31/2018	Audio/Video	Compliance Review	Rep Sellars	Here's a title	12/28/2018	
1	2304809.1	01/03/2019	12/05/2018	Audio/Video	Compliance Review	Allen Sellars	Test	12/28/2018	
1	2304807.1	01/03/2019	12/05/2018	Audio/Video	Assign to Subject Matter Expert	Allen Sellars	Test Title	01/04/2019	Bonds
1	2304784.1	01/01/2019	12/18/2018	Audio/Video	Compliance Review	Rep Sellars	Smart Date Text	12/28/2018	

At the bottom of the 'Available' section, it says '25 items per page' and 'Showing 1 to 6 of 6 entries'.

My Queue:

- » **Claimed Items:** Displays submissions upon which the user must act
- » **Available Items:** Displays submissions that are available for that user to claim and act

My Items:

- » **Active Items:** Displays requests the user has submitted for review
- » **Draft Items:** Displays incomplete review requests that have not yet been submitted for review
- » **Completed Items:** Displays requests the user submitted for review that have reached a final decision step (Approved, Conditionally Approved, Reviewed, Expired)

- **Submit Request:** Select Submit Request to submit a request for approval
- **Active Requests:** Provides users with the ability to view all pending requests from submitters that are within the user's "span of control"
- **Search:** Provides users the ability to search for submissions or library items based upon defined criteria. All search features allow for the ability to export the results to an excel spreadsheet and/or export the attachments in each submission.

Search All Requests

- » Users may perform searches based on selected criteria to retrieve requests that have been submitted by users within their span of control. Document text search allows users to search for keywords within documents and/or submission notes.

Search Library

- » The Communication Review Library serves as a repository for any materials that have been pre-approved for use. Details on library functionality are provided in the **Library** section.

3.0 SUBMITTING A REQUEST

In order to seek approval for an advertising piece, new award or achievement, or to submit hardcopy correspondence, a request must be submitted via Communications Review. Once an item has been submitted, it will be routed to the appropriate next step.

3.1 Submit Request

Select **Submit Request** in the top menu bar and follow the steps below in the **Submission Form** section and continued in the **Attachments and Additional Information** section.

3.1.1 Submission Form

The submission form is used to provide details regarding the item being submitted for review.

- **Step 1:** Enter the title
- **Step 2:** Select the appropriate format
 - » **Advertising:** To be used for communications with the public intended for use with more than one person that a financial professional is seeking approval to use. This would include items like business cards, social media profiles, email signatures, weekly commentary, etc.
 - » **Correspondence:** To be used for incoming or outgoing hardcopy correspondence. This would include items like physically mailed form letters, CIR statements with manual entries, personalized birthday/holiday cards, etc.
 - » **Awards and Achievements:** To be used to seek approval to advertise a new award or achievement
 - » **Cambridge Corporate Content (HOME OFFICE USE ONLY):** Internal, home office use only
 - » **Vendor Submission:** External vendor use only. Not to be used by a financial professional or any internal user.

- **Step 3:** If the request is being submitted on behalf of another user, select **Add Originator(s)** to search for individuals or groups of individuals to be listed as originators. A pop-up will appear (shown below) to enable the user selection(s).

Note: If you are in an administrative status, please select the financial professional(s) in which you are submitting for, as well as any other administrative staff members that may need to be able to act on the submission. This would include anyone that should be able to respond to revision requests, add additional documentation, or any other action needed.

If submitting correspondence and including a supervisor or designee as an originator, please select the highest level of supervisor as the primary originator so the piece routes to the correct supervisor for review.

Search For Users

Selected Users

Individuals Groups

henderson shay Search By Search for

Search

Search Results

First Name	Last Name	UNID
Shayna	Henderson	1X6

Remove

Clear All Add Selected Cancel

- **Step 4:** Upon selecting the appropriate format for your submission, the submission form including any format-specific instructions is displayed

Format **

1. Advertising

Originator

Add Originator(s)

Associate other individuals to this record. Submission form will refresh upon selection of new primary originator in order to refresh mapped values.

1. Advertising Instructions

Advertising is defined as any material that is intended for use with more than one person. Financial professionals are required to submit all advertising for review and receive prior approval from the Cambridge Compliance Department. Acknowledgement of date of first use must be indicated upon submittal. Financial professionals are prohibited from using any advertising until proper approval has been obtained from the Cambridge Compliance Department. Please reference the Compliance manual for Advertising policies.

3.1.1.1 Submission Form Fields

- **Required for Submission** fields are indicated with a red asterisk*
- **Required for Draft** fields are indicated with two red asterisks**
- **Read Only** fields are gray and cannot be edited

3.1.1.2 Submission Form Fields: Advertising

- **Date of First Use:** Please indicate the actual or intended date of first use of the material
- **Date Needed:** Date review is needed
- **Is there a FINRA review letter available for the material?:** If the material has been reviewed by FINRA, there will be a FINRA review letter available. This is relevant for a lot of sponsor material or financial planning tools, as an example. The wholesaler should be able to provide this to you.
- **Please select the audience of this material (indicate any and all):** Who is the intended audience?
- **What type of advertising material is this (indicate any and all uses of the submitted material)?**
 - » **Advertisement:** Excludes material in other listed categories. Could include banner ads, billboards, signage, etc.
 - » **Sponsor Company Material:** Includes fact sheets or other materials from sponsors of third party managers
 - » **Software Reports:** Include templates and reports from financial planning software, investment analysis tools, risk analysis, etc.
 - » **Lead Generation Tools:** Could be categorized as a company that matches prospective clients with financial professional(s)
 - » **Stationery:** Could include letterhead, fax cover sheets, email signatures, business cards, envelopes, etc.
- **If website, please list all applicable website URLs:** Please disclose all URLs for your website(s) as this is required for your branch records with FINRA.
- **If social media, specify sites:** Select sites in which the material will be used.
- **If this is a report from a software company, what is the name of the software?** Provide name of the software provider.
- **If this is for a lead generation service, what is the name of the lead generation platform/service?** Provide name of the lead generation service.

- **Does this piece include investment/strategy performance?** This would include but is not limited to model performance, investment results, price change, returns, historical performance, etc.
- **Does the material include discussion of these products (indicate any and all)?** Select product types included in the material being submitted for review.
- **Does this piece contain a testimonial or endorsement?** This could include any direct or indirect statement of support, experience, or referral to you, your firm, or other services in which you are involved.
- **If the piece contains a testimonial or endorsement, did you provide compensation for the testimonial or endorsement?** This could include direct cash compensation or indirect gifts in exchange for the testimonial or endorsement.
- **If you provided compensation, what type of compensation did you provide for the testimonial or endorsement?** If applicable, indicate cash or non-cash compensation.
- **What material will accompany the literature (indicate any and all)?** Select what will accompany the material.

3.1.1.3 Submission Form Fields: Correspondence

- **What type of correspondence material is this?:** Select any or all. If none of the options apply, select general correspondence.
- **Date Correspondence Sent/Received:** Select the date the correspondence was sent or received. If submitted correspondence has multiple dates, please select the earliest date in this field.
- **If this submission contains template material, such as a form letter or consolidated statement, did you previously submit this form letter for Cambridge Advertising Review?** Answer yes or no. If yes, select the related tracking number in the Related Items field at the bottom of the submission form.

3.1.1.4 Submission Form Fields: Professional Awards and Achievements

- **What organization issues this award?** Name of the issuing organization. An example could be a magazine or newspaper.
- **What is the issuing organization's website address (URL)?** List the website. Enter "N/A" if no website exists.
- **Does the issuing organization have required coursework to receive this award?** Could include online course, exams, etc.
- **If yes, describe in detail the material and content of the required coursework to achieve the award.** Enter details, which could include online self-paced courses, classes, exams, timeframe to complete, etc.

- **On what date did you receive this award?** The date award was issued or you were notified.
- **Does the issuing organization use a questionnaire to obtain results from the public in order to obtain this award?** Yes or No.
- **If payment is required to participate, excluding membership fee(s), please specify amount.** Provide a dollar amount.
- **Please select all that apply to this award:** If none apply, select not applicable
- **If the issuing organization has URL(s) for their investor complaint process, public disciplinary process, and/or where the investors can check the status of an investment professional with this award online, specify sites:** If any of the previous question applies, provide URL in which more information can be found.

3.1.2 Attachments and Additional Information

Once the submission questions have been answered, attach the appropriate documentation and/or add any additional details in the section below the submission form.

The screenshot shows a form interface with the following sections:

- Review Item***: A dashed box containing a "Browse for files" link and the text "Drop files here".
- Additional Documents**: A dashed box containing a "Browse for files" link and the text "Drop files here".
- Related Items**: A text input field with a blue button labeled "+ Find Related Items" to its right.
- Additional Details**: A large text area for entering details.

At the bottom of the form, there are three buttons: "Submit", "Save as Draft", and "Cancel".

- **Step 5:** To upload an item to be reviewed, go to the Review Item field and either select Browse for files or drag and drop the desired files into the upload section. More than one document can be selected for simultaneous upload. (Communications Review supports file size uploads of up to 4GB. There is no total limit per submission.)
- **Step 6:** To upload additional documentation that should be submitted along with this request (e.g., metrics to support claims made in the piece), go to the Additional Documentation field and either select Browse for files or drag and drop the desired files into the upload section

- **Step 7:** If the submission is related to a previously entered submission, go to Related Items and select **Find Related Items** to relate this submission to the previously entered submission(s). A pop-up window will appear (shown below) allowing you to search for submissions.

Tracking #	Title	Process	Format	Date Submitted	Expiration Date
<input type="checkbox"/> 0FAD36E3-08FD-4C20-895D-AA2301186787	Social Network Abatement Form	Communications Review	1. Advertising	03/02/2019	03/01/2025
<input type="checkbox"/> 4714769.2	www.phid.org/petitions/submission.com	Communications Review	1. Advertising	01/09/2023	
<input type="checkbox"/> 4714830.1	Cambridge Text III Advertising	Communications Review	1. Advertising	01/09/2023	01/26/2028
<input type="checkbox"/> 4714830.2	Cambridge Text III Advertising	Communications Review	1. Advertising	01/09/2023	
<input type="checkbox"/> 4715091.1	Text Case 1.11	Communications Review	1. Advertising	01/11/2023	

The Add Related Items screen will allow you to search for submissions by various data points.

Once the search results are returned, check the items to add to the submission and select **Add Selected**.

- **Step 8:** Enter any additional details that may be beneficial to the review of the submission.
- **Step 9:** Communications Review assigns each submission an expiration date upon approval. If this is a one-time use piece, or Correspondence submission, select the **Suppress Expiration Email** box to stop emails from being sent to alert you to an upcoming expiration for this submission.
- **Step 10:** Select **Submit** to submit your request and all associated documentation. A confirmation message will display.

Submission Confirmation

Your request (Tracking Number [4720306.1](#)) has been submitted. You can track updates within the submission details.

[View WorkList](#)

3.2 View Past Requests

Submitters and originators can view the status and details of prior requests. To view a list of all requests for which you are either the Submitter or an Originator, select the **My Items** tab of the Worklist.

The screenshot displays the RegEd Worklist interface. The 'My Items' tab is selected, showing three categories: Active, Drafts, and Completed. Each category has a search bar and an 'Export to CSV' button. The 'Active' category shows a table with 6 entries, including columns for Tracking #, Priority, Title, Date Submitted, Status, Status Date, and Role. The 'Drafts' category shows 1 entry with columns for Tracking #, Title, Process, Format, and Last Saved. The 'Completed' category shows 2 entries with columns for Tracking #, Title, Date Submitted, Status, Status Date, Final Decision, Final Decision Date, Role, and Expiration Date.

Tracking #	Priority	Title	Date Submitted	Status	Status Date	Role
1455852.1.07012016		Business Card	03/29/2016	Expired - External Review	04/18/2018	Originator
2033071.1.		New Bus. Card	02/20/2018	Compliance Review	02/20/2018	Submitter
2059061.2.	2	New Firm Brochure	03/15/2018	Revise and Resubmit	07/24/2018	Submitter
2111546.2.		Genworth	08/22/2018	Compliance Review	08/22/2018	Submitter
2169729.1.		New	07/05/2018	Send to Additional Reviewers	07/05/2018	Submitter
2240929.1.	2	Multi File	09/12/2018	Compliance Review	09/12/2018	Submitter

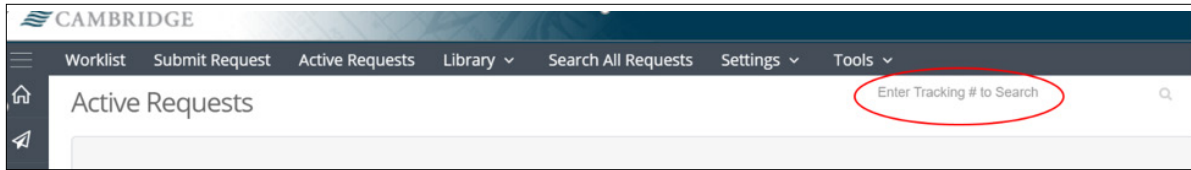
Tracking #	Title	Process	Format	Last Saved
2304818.1.	Brochure Draft	AdTrax Demo Sales	Brochure	12/27/2018

Tracking #	Title	Date Submitted	Status	Status Date	Final Decision	Final Decision Date	Role	Expiration Date
2111546.1.05252018	Genworth	05/04/2018	Expired	05/04/2018	Approved	05/04/2018	Submitter	05/25/2018
2304734.1.	Test SAW	12/12/2018	Workflow Complete	12/12/2018	Approved	12/12/2018	Originator	12/12/2019

- **Active:** Displays items that are still pending a final review decision
- **Draft:** Displays items that have been saved as draft and not yet submitted for review
- **Completed:** Displays items that have a final review decision. This can also include items that have been withdrawn by the submitter.

Select the **Tracking Number** to display the Submission Overview page. This provides a link to the review material as well as any information that was originally submitted with the request.

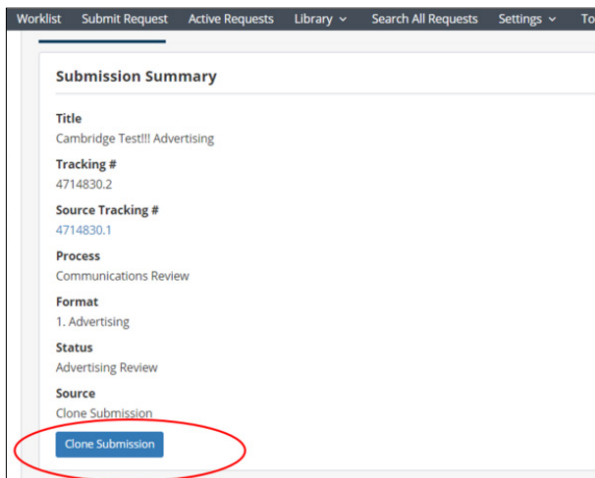
Users are also able to search for past submissions by its tracking number from any page in Communications Review. When searching by a tracking number with an exact match, the user will be taken to the Submission Overview screen for that item; partial searches will return all applicable submissions on a search results screen.



3.3 Cloning a Previously Submitted Item

The clone feature allows use of a previously submitted item as the foundation for a new submission. This is particularly useful for items that must be submitted on a recurring basis, as details from a previous submission are copied into a new submission form, where any necessary updates can be made.

- **Step 1:** To clone a submission, select **Clone Submission**.



- **Step 2:** The submitter will be redirected to the Submit Request screen and will have the ability to edit the format, title, submission information, and/or attachments of the submission prior to submitting the new copy.

Dates must be adjusted and new review items must be attached before submitting.

Submit Request | Active Requests | Library | Search All Requests | Settings | Tools | Enter Tracking # to Search

Title **
Weekly Newsletter

Format **
1. Advertising

Originator
[Add Originator\(s\)](#)
Associate other individuals to this record. Submission form will refresh upon selection of new primary originator in order to refresh mapped values.

1 Date of First Use*
January 2, 2023
Date of intended or actual first use. Reminder, Advertising should be approved prior to use.

2 Date Needed*
January 27, 2023
Requested review date. Please allow 3 business days for review of basic items. If needed sooner, please provide reason for expedited request in the override request pop-up you receive after submitting. EXAMPLE of expedited request could be weekly newsletters, urgent market updates, urgent social media posting, etc.

3 Is there a FINRA review letter available for the material?

- **Step 3:** Select **Submit** to submit the request for review.

The original request from which the newly submitted request was cloned is viewable via the Source Tracking # listed in the Submission Details.

The Source field will also display "Clone" (Note: The original submission displays "Original Submission" as the source). A new, versioned tracking number will be assigned to the new submission (111111.2 as example).

3.5 Suppress Expiration Email

Users that do not wish to receive an expiration email on a given submission can easily suppress the expiration emails by selecting **Suppress Expiration Email** in the Submission Details section of the Submission Overview page.

RegEd | Worklist | Submit Request | Active Requests | Search | Settings | Trax

Submission Overview | Unclaim | Print | Save PDF

ACTION REQUIRED
Please proceed to the Internal Review section and make the appropriate selection.

Submission Details | Request Details | Internal Review | FINRA

Submission Summary
[Amend Review Status](#) | [Upload to FINRA](#) | [Add To Library](#)

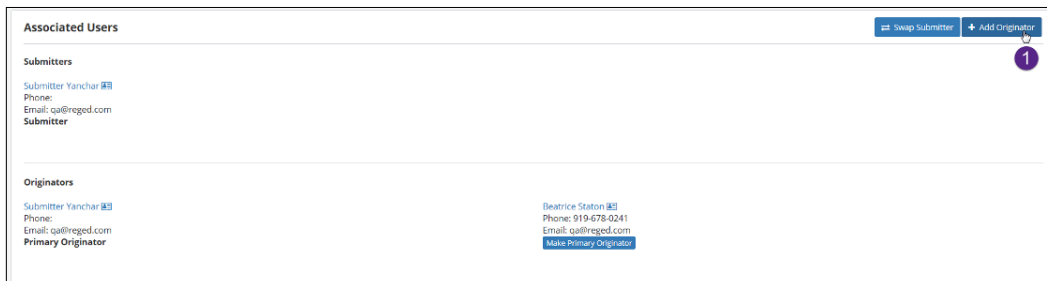
Title Suntrust Example	Priority 2
Tracking # 2142575.1.06062019	Date Submitted 06/06/2019
Process AdTrax Demo Sales	Status Date 12/14/2018
Format Initiation	Expiration Date 06/06/2019
Status External Review	
Source Original Submission	

[Suppress Expiration Email](#)

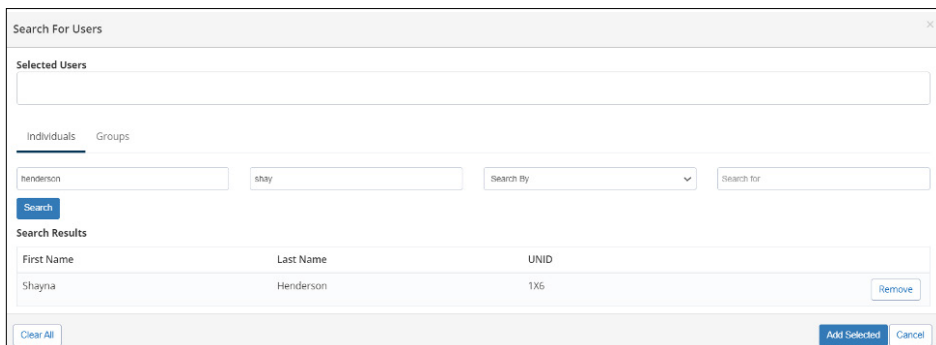
3.6 Managing Originators

To add an Originator after submitting a request, select **Add Originator** in the Associated Users section of the Submission Overview screen.

- **Step 1: Select Add Originator.**



- **Step 2:** When the Add Originator button is selected, a search for users pop-up window will appear allowing you to search for individuals to add.

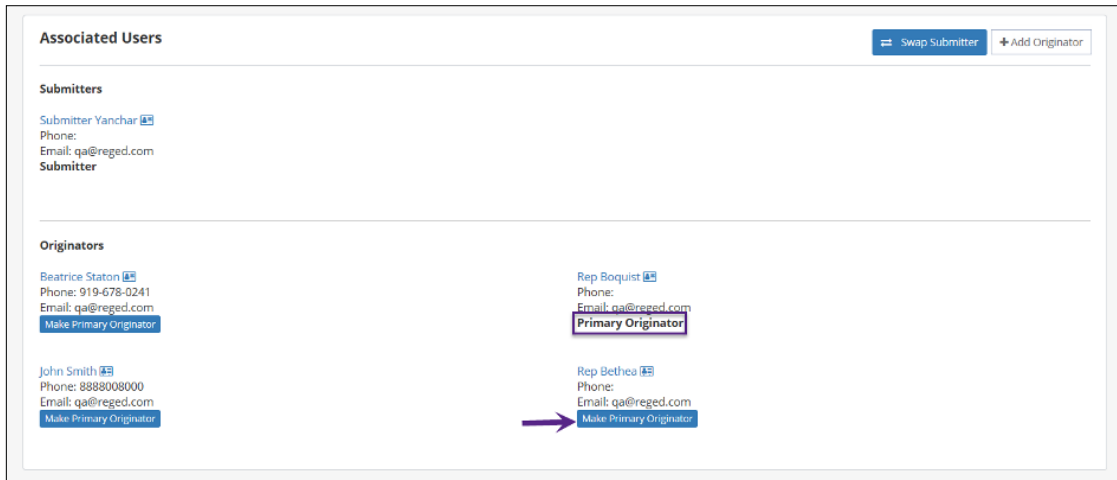


Search can be performed on an individual or group basis. Select **Add** next to the party(ies) you wish to add as an originator. Their name(s) will appear in the Selected Users field above.

- **Step 3:** Once all selections have been made, select **Add Selected** to attach those originators to the submission.

Once an Originator is added, an Originator section will display on the Submission Overview screen.

Select **Make Primary Originator** to add additional originators and change the primary originator within the submission.



3.7 Related Items

Related Items gives users the ability to add submissions as a Related Item for another submission, enabling related submissions to be easily cross-referenced from the Submission Overview screen.

3.7.1 Adding a Related Item

Related Items can be added to a submission from both the Submit Request and Submission Overview screens.

To add related items to a submission:

- **Step 1:** Select **Add** in the Related Items Section of the Submission Details tab.



- **Step 2:** An Add Related Items pop-up window will display. To find a submission, enter any applicable search criteria and select **Search**.

The screenshot shows a dialog box titled "Add Related Items". It features several input fields for user entry: "Tracking #", "Title", "Format" (a dropdown menu), "Submit Date", and "Expiration Date". Below these fields is a section titled "Selected Submission Filters" which includes a search bar and "Search" and "Clear Search" buttons. At the bottom right of the dialog, there are "Add Selected" and "Cancel" buttons.

- **Step 3:** Select items to add to the submission and select **Add Selected**.

The Search Results table enables users to search by any of the data in the columns shown. Multiple search terms will be treated as an "AND" condition (i.e., Test Case will find all submissions with "Test" AND "Case" in one of the columns).

- **Step 4:** Selected items will display in the Related Items section of the Submission Details tab of Submission Overview.

4.0 WORKFLOW TASKS – PENDING FP OR REVISIONS REQUIRED

- Step 1:** To respond to a submission that is in a Revisions Required or Pending FP status, select **Claim** next to a submission that appears on the Worklist. If the submission has been sent to a group of people (e.g., all originators on a submission), the first person to claim the task becomes responsible for it, and the task is removed from everyone else's Available Queue/Worklist.
- Step 2:** Once a task has been claimed, it will be moved to the Claimed Items list.

The screenshot shows a web interface with two sections: 'Claimed' and 'Available'. Each section contains a table of tasks with columns for Tracking #, Date Submitted, Format, Originator, Priority, Priority Name, Status, Submitter, Title, and several question-based columns. In the 'Claimed' section, a task with Tracking # 4720017.1 is shown with a status of 'Pending FP Review'. In the 'Available' section, a task with Tracking # 4720016.1 is shown with a status of 'Revisions Required'.

My Queue My Items													
Claimed													
Tracking #	Date Submitted	Format	Originator	Priority	Priority Name	Status	Submitter	Title	1 What type of correspondence material is this?	2 Date Needed	6 What type of advertising material is this (indicate any and all uses of the submitted material)?	OSJ Name	
<input type="checkbox"/> Unclaim	4720017.1	01/31/2023	2. Correspondence			Pending FP Review		test 4321	Form Letter				

Available													
Tracking #	Date Submitted	Format	Originator	Priority	Priority Name	Status	Submitter	Title	1 What type of correspondence material is this?	2 Date Needed	6 What type of advertising material is this (indicate any and all uses of the submitted material)?	OSJ Name	
<input type="checkbox"/> Claim	4720016.1	01/31/2023	1. Advertising			Revisions Required		Test 1234		03/10/2023	Letter/Email		

- Step 3:** Once claimed, you will be taken to the Submission Overview screen for that submission. You will then be directed to proceed to the Request Details and should select **Submit Revised Request** after making the appropriate updates.

Select **New Version** and upload the revised material to add the updated version of the material reflecting the change. Comments can be added in the Revision Comments field.

The screenshot shows a 'Current Versions' table with columns for Review Item, Submitted, Owner, Version, New Version, Annotate, and Annotation History. Below it is a 'Revision Comments' section with a text input field and a 'Submit Revised Request' button. A table below the input field shows a comment: 'Please make revisions' by an author on 01/31/2023 at 4:47 PM for version 1v1.

Review Item	Submitted	Owner	Version	New Version	Annotate	Annotation History
Test doc1.docx	01/31/2023 - 4:44 PM		1v1	<input type="radio"/>	Annotate	

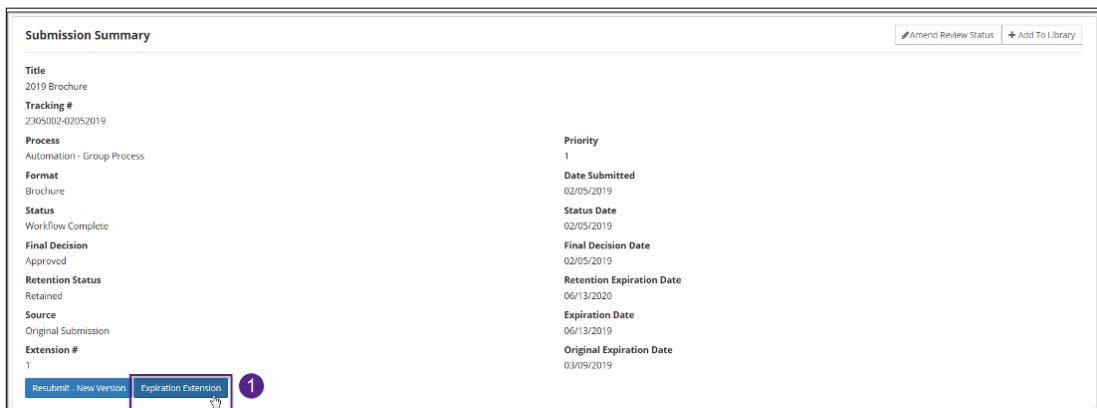
Comment	Author	Date	Version
Please make revisions		01/31/2023 - 4:47 PM	1v1

4.1 Requesting an Expiration Extension

This feature allows submitters to extend the expiration date for previously approved submissions. To initiate the workflow, select **Expiration Extension**. The submitter will be notified via email when the review decision has been made.

While the request for Expiration Extension is pending, the Expiration Date field cannot be edited, regardless of user permissions.

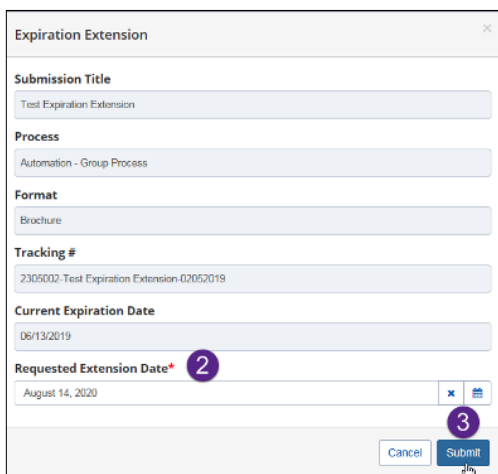
- **Step 1:** Select **Expiration Extension** to open a pop-up to request the date extension.



The screenshot shows a 'Submission Summary' page with various fields. At the bottom left, there are two buttons: 'Resubmit - New Version' and 'Expiration Extension'. The 'Expiration Extension' button is highlighted with a red circle and the number 1, indicating it is the step to be taken.

Submission Summary	
Title 2019 Brochure	Priority 1
Tracking # 2305002-02052019	Date Submitted 02/05/2019
Process Automation - Group Process	Status Date 02/05/2019
Format Brochure	Final Decision Date 02/05/2019
Status Workflow Complete	Retention Expiration Date 06/13/2020
Final Decision Approved	Expiration Date 06/13/2019
Retention Status Retained	Original Expiration Date 03/09/2019
Source Original Submission	
Extension # 1	

- **Step 2:** Fill out the Requested Extension Date on the pop-up. Extensions may be requested two times, each for up to a one-year period. Additional fields in popup are displayed as reference.



The screenshot shows a pop-up form titled 'Expiration Extension'. It contains several fields for submission details. The 'Requested Extension Date*' field is highlighted with a red circle and the number 2, indicating it is the step to be taken. The 'Submit' button is highlighted with a red circle and the number 3.

Expiration Extension	
Submission Title Test Expiration Extension	
Process Automation - Group Process	
Format Brochure	
Tracking # 2305002-Test Expiration Extension-02052019	
Current Expiration Date 06/13/2019	
Requested Extension Date* August 14, 2020	
Cancel	Submit

- **Step 3:** Select **Submit** to send the request for review
- **Step 4:** A message will be displayed confirming that the Expiration Extension request was successfully submitted.
- **Step 5:** Select **OK**. A green megaphone icon will appear next to the Expiration Date on the Submission Overview page to indicate an extension has been requested.

Submission Summary [Amend Review Status](#) [Add To Library](#)

Title Test Expiration Extension	
Tracking # 2305002-Test Expiration Extension-02052019	
Process Automation - Group Process	Priority 1
Format Brochure	Date Submitted 02/05/2019
Status Workflow Complete - Home Office Review	Status Date 02/05/2019
Final Decision Approved	Final Decision Date 02/05/2019
Retention Status Retained	Retention Expiration Date 06/13/2020
Source Original Submission	Expiration Date 08/14/2020 5
Extension # 1	Original Expiration Date 03/09/2019

[Resubmit - New Version](#) [Expiration Extension](#)

4.1.1 Submission Details (After Extension)

A submission that has been extended will show the Original Expiration Date, along with the current Expiration Date and the Extension # (denotes how many times a submission has been extended).

Submission Overview [Print](#) [Save PDF](#)

[Submission Details](#) [Request Details](#) [Internal Review](#)

Submission Summary [Amend Review Status](#) [Add To Library](#)

Title Test 2	
Tracking # 2305043-Test 2-02112019	
Process Automation - Expiration Extension	Priority 2
Format Brochure	Date Submitted 02/11/2019
Status Workflow Complete	Status Date 03/19/2019
Final Decision Approved	Final Decision Date 03/19/2019
Source Original Submission	Expiration Date 04/17/2020
Extension # 1	Original Expiration Date 03/18/2020

[Suppress Expiration Email](#) [Resubmit - New Version](#) [Expiration Extension](#)

5.0 MODIFYING A SUBMITTED REVIEW ITEM

In addition to entering notes or comments regarding a review item, submitters may wish to add comments or make changes to the documents that are submitted for review. Once changes have been made, the modified document can be referenced for the submitter to use and incorporate the recommended changes into the final copy. This action can be taken until the piece is in a final review status such as Approved, Conditionally Approved, or Reviewed.

- **Step 1:** To upload the new document, go to the Current Version section of the Request Details box.
- **Step 2:** To upload a new Review Item, select **Add Review Items**.
- **Step 3:** To upload a new version of a previously submitted review item, select the **green plus sign** under the New Version column next to the review item.

The screenshot displays the 'Submission Overview' page. At the top, there is a navigation bar with buttons for 'Make Review Decision', 'Unclaim', 'Print', and 'Save PDF'. Below this is a blue banner with the text 'ACTION REQUIRED' and a sub-message: 'Please click "Make Review Decision" and make the appropriate selection.' The main content area has tabs for 'Submission Details', 'Request Details' (which is active and marked with a circled '1'), 'Internal Review', and 'FINRA'. The 'Request Details' section contains a form with fields for Title, Additional Details, Brochure Type, For Use By, Audience, and State. To the right of these fields are 'Due Date', 'Expiration Date', 'Date of First Use', 'Audience Size', and 'Product(s)'. Below the request details is the 'Current Versions' section, marked with a circled '2'. It contains a table with columns: Review Item, Submitted, Owner, Version, New Version, Annotate, Annotation History, and Remove. The table lists three versions of 'Advertising Review Factsheet.pdf'. The first row is expanded with a drop-down arrow (marked with a circled '5') and shows two previous versions (1v1 and 2v1) with a green plus sign in the 'New Version' column (marked with a circled '3'). The second row is marked with a circled '4'.

Review Item	Submitted	Owner	Version	New Version	Annotate	Annotation History	Remove
▼ Advertising Review Factsheet.pdf	03/25/2019 - 11:47 AM	Allen Sellars	1v2	+			
Advertising Review Factsheet.pdf	03/07/2019 - 6:14 AM	Allen Sellars	1v1				
Advertising Review Factsheet.pdf	03/25/2019 - 6:39 AM	Allen Sellars	2v1				

- **Step 4:** To view the most recent version of a review item, select the hyperlinked file name.
- **Step 5:** To view previous versions of a review item, open the drop-down arrow next to the original file name, and the previous version links will appear listed below the original version. The version column specifies the version of each item.

5.1 Editing the Submission Form

Submitters may also wish to change data that was input during the submission process. To do this, open the request details, select **Edit** in the top right corner, make the necessary changes, then select **Save**.

Submission Details | **Request Details** | Internal Review

Request Details (1)

Edit

Request Details	Additional Details
Title Test 1234	2 Date Needed 03/10/2023
1 Date of First Use 03/01/2023	4 Please select the audience of this material (indicate any and all) Commission-Based Clients Financial Professionals
3 Is there a FINRA review letter available for the material?	6 What type of advertising material is this (indicate any and all uses of the submitted material)? Letter/Email
5 If other audience type, please specify	8 If Social Media, specify sites
7 If Web Site, please list all applicable website URLs	10 If this is for a Lead Generation service, what is the name of the lead generation platform/service?
9 If this is a report from a software company, what is the name of the software?	12 Does this piece include investment/strategy performance?
11 If Other lead generation service, please specify	14 Does this piece contain a testimonial or endorsement? No
13 Does the material include discussion of these products (indicate any and all)? CDE	16 If you provided compensation, what type of compensation did you provide for the testimonial or endorsement? Not Applicable
15 If the piece contains a testimonial or endorsement, did you provide compensation for the testimonial or endorsement? Not Applicable	18 If Other type of accompanying material, please specify
17 What material will accompany the literature (indicate any and all)?	

Please see below for a definition of the below sections:

5.2 Annotations

The Annotation Tool allows a reviewer to provide specific feedback for the submitted review item by adding comments, highlighting, and additional markup. Annotations are stored separately from the review item in an easy to read format, allowing the submitter to view feedback and apply changes to their review item.

Annotations to documents are stored in PDF format. Annotations to audio or video files are stored as a list of comments with associated timestamp.

Please note that browser default settings may need to be modified for the best experience. See the **Why are some of my comments missing when I download and view the annotated PDF?** Section.

5.2.1 Document Annotations: View Saved Annotations

- **Step 1:** To view annotations, select the link in Annotation History.
 - » The Annotation History (#) link will download the most recent annotated document
 - » Select the expand triangle to see the history of saved annotations and select any of the links to download that particular annotation
- **Step 2:** The PDF file will download automatically.

- **Step 3:** Open the PDF file using Adobe Reader.

Current Versions							+ Add
Review Item	Submitted	Owner	Version	New Version	Annotate	Annotation History	Remove
User Guide.docx	04/30/2020 - 12:57 PM	John Smith	1v1	<input type="radio"/>			
Advertising Review Factsheet.pdf	04/30/2020 - 1:02 PM	John Smith	2v1	<input type="radio"/>		▼View Annotation History (2) Karen Jones - 04/30/2020 - 1:57 PM Clark Morris - 04/30/2020 - 1:05 PM	

5.2.1.1 Why Are Some of My Comments Missing When I Download and View the Annotated PDF?

Browsers today include a PDF preview capability that is turned on by default. Some types of annotations cannot be displayed in the browser PDF preview. To resolve this, change your browser's default settings to download PDF files and open with a third-party application such as Adobe Acrobat.

Google Chrome	Select the menu icon in the top right (☰) and select Settings . In the Privacy and Security section, select Site Settings . Scroll down to the Additional Content Settings section and select PDF Documents . Change the toggle so it is blue (dot on right) for Download PDF files instead of automatically opening them in Chrome.
Firefox	Select the Menu Icon in the top right (☰) and select Options . In the General section, scroll down to see the list of Applications. Find the Portable Document Format (PDF) and change the action to Save File.
Internet Explorer	Select the Tools gear icon in the top right (⚙️) and select Manage Add-ons . Select Toolbars and Extensions in the Add-on Types box and then select the Show drop-down box to reveal the list of options. Select All Add-ons to display the list of add-ons in Internet Explorer. Scroll down the list until you find Adobe PDF Reader. Select Adobe PDF Reader and then select the Disable button, then select Close .
Edge Chromium	Select the Settings and More icon in the top right (⋮) and select Settings . Select Cookies and site permissions in the left Settings menu, the scroll down and select PDF documents . The toggle for Always open PDF files externally should be enabled (blue with dot on the right).

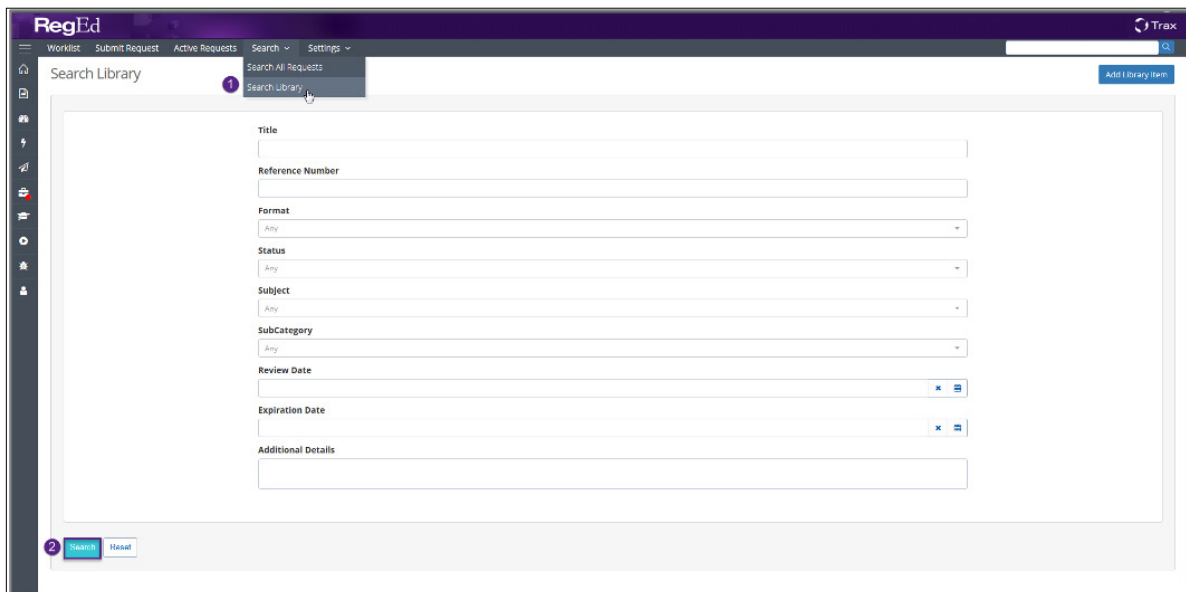
6.0 LIBRARY

The Communications Review Library serves as a repository for any materials that administrators may want to make available to submitters. This could include items such as sample business cards or sample advertising materials that submitters may use as a template or refer to as an example.

Communications Review administrators will be responsible for loading materials into the Library, and all Communications Review users can be given access to search through those materials.

6.1 Search Library

- **Step 1:** To perform a Library search, select **Search Library** from the top menu bar.
- **Step 2:** You may search the library using any of the criteria shown below. Enter the criteria for the type of material you are looking for and select **Search**.



The screenshot displays the RegEd application interface. At the top, there is a navigation bar with 'RegEd' on the left and 'Trax' on the right. Below the navigation bar, there are tabs for 'Worklist', 'Submit Request', 'Active Requests', 'Search', and 'Settings'. The 'Search' tab is active, and a dropdown menu is open, showing 'Search All Requests' and 'Search Library'. The 'Search Library' option is highlighted with a red circle and a number '1'. Below the navigation bar, the 'Search Library' page is visible. It features a search form with the following fields: 'Title', 'Reference Number', 'Format' (with a dropdown menu), 'Status' (with a dropdown menu), 'Subject' (with a dropdown menu), 'SubCategory' (with a dropdown menu), 'Review Date' (with a date picker), and 'Expiration Date' (with a date picker). At the bottom left of the form area, there is a 'Search' button and a 'Reset' button. A red circle with a number '2' is placed over the 'Search' button. In the top right corner of the search form area, there is an 'Add Library Item' button.

- **Step 3:** To view an item on the Library Search Results screen, simply select **View**.

7.0 SEARCH ALL REQUESTS

Users may also perform searches based on selected criteria to retrieve requests that have been submitted by users within their span of control.

7.1 Performing a Search

- **Step 1:** To perform a search, select **Search All Requests** from the top menu bar. The page will default to the New Search tab.

- **Step 2:** Under Submission Details, the user can select date ranges for different search categories. Date Values allow the user to enter a specific date range by which to search. Date Strategy allows the user to select a system defined date logic option.
- **Step 3:** Submitter and Reviewer selection options enable users to quickly identify the user associated with key Submitter and Reviewer fields when executing a search. The Myself option will automatically search by the user who is performing the search; Lookup allows the user to look up another individual by name or group, and Enter Name allows a user to search by entering the first and/or last name.

Lookup allows the ability to search for an individual or group for which the user holds permission over.

- **Step 4:** The data points available in Search All Requests fields will automatically filter based on the values selected for Process and Format; meaning that subsequent options will narrow based on the selected Process and/or Format. These filters include Format, Status, Final Decision, Submission Filters, and Internal Review Filters.

- **Step 5:** To search on specific submission form data, select the corresponding **Add/Edit Search Criteria** link.
- **Step 6:** On the Add Search Criteria screen, select the appropriate sub-section to expand the accordion for the Submission or Review question upon which you want to search. Select the desired search criteria to add to the search and select **Save**.
- **Step 7:** The selected question will appear in the list of Selected Submission Filters. Repeat the same steps to add Internal Review filters. After selecting all of the search criteria, select **Search**.

7.1.2 Saving a Search

Users can save search parameters in the Search All Requests Tool so the same set of parameters can be used to run future searches in one easy click. Each user will be able to save multiple search parameter sets, assign each one a name and description, and edit the parameters as necessary.

- **Step 1:** To save search criteria, select **Save As** to produce the Save Report As pop-up.

- **Step 2:** Enter the Report Name and Description and select **Save** to save the search criteria.

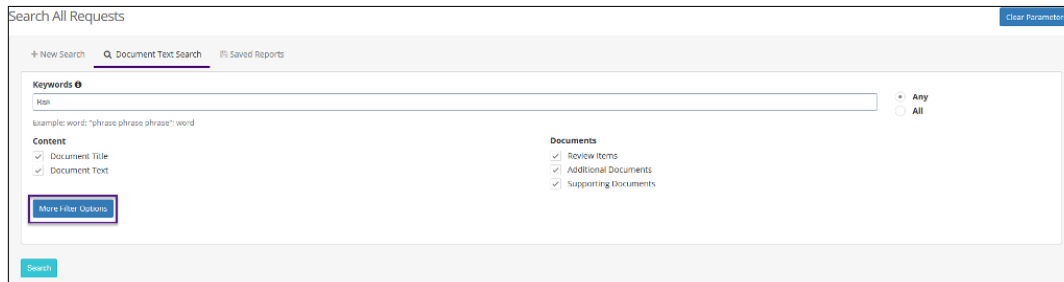
- **Step 3:** Saved searches will always appear under the Saved Reports tab on the Search All Requests screen.
 - » Select **Search** to run the search exactly as previously defined;
 - » Select **View/Edit** to edit the saved criteria prior to performing the search;
 - » Select **Delete** to remove the saved search criteria

Name	Description	Last Edited	Actions
3rd party Brochure	filtered for brochures with third party materials	03/21/2019 - 7:00 AM (CDT)	<ul style="list-style-type: none"> View/Edit Search Delete

7.1.3 Document Text Search

The Search All Requests page contains a Document Text Search tab. Document text search, if enabled, allows users to search for submissions based on the content within its non-image PDF file attachments and export a summary to Microsoft Excel. Users are able to quickly and easily search using keywords and phrases to identify matches in the document title and document text for Review Items, Additional Documents, and Supporting Documents.

If you wish to perform the document text search in conjunction with the search filters from the New Search screen, select **More Filter Options** to expand the page and display the additional filter criteria.



7.1.4 Search Results

Search results will be displayed in the format shown below. To view a particular request, select the Tracking number.

There are various export options for search results:

- **Export Attachments:** Exports the most recent review item attachments and FINRA letters (if available) for all selected submissions
- **Export Related Items:** Exports a list of related items for search results
- **Export Notes/Comments:** Exports the notes and comments for search results
- **Export Metadata**

For questions regarding the Communications Review Tool, please contact the Compliance Department (compliance@cir2.com) at 800-777-6080.



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