CAMBRIDGE

COMMUNICATIONS REVIEW USER GUIDE

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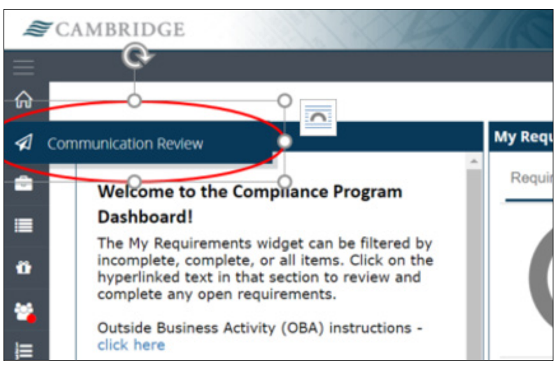
1.0 COMMUNICATIONS REVIEW OVERVIEW

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.

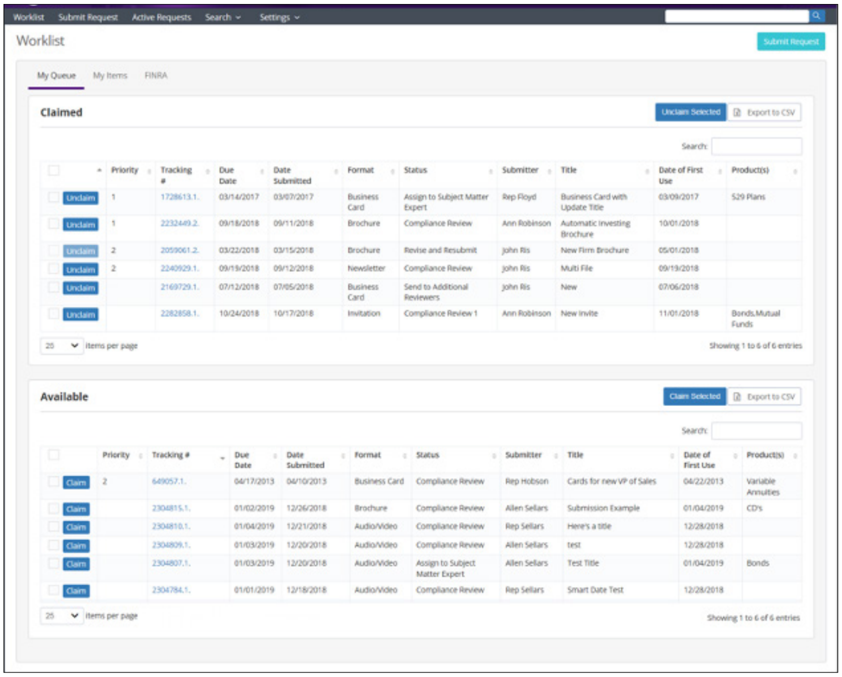


Administrative staff members must have a CLIC® Enrollment Form on file to submit on behalf of a financial professional.

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.



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 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

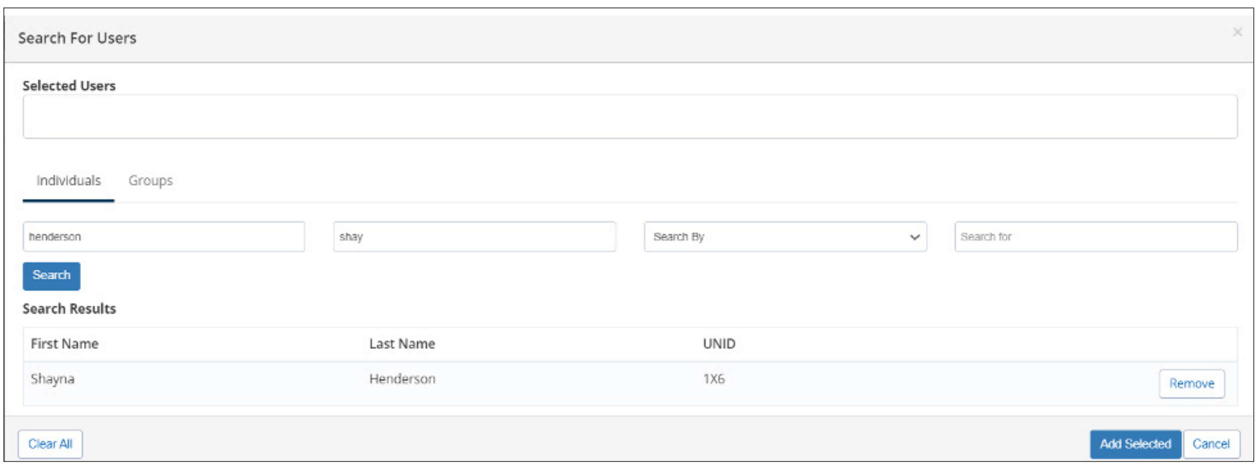
The submission form is used to provide details regarding the item being submitted for review.

- **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, CIRStatements 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.

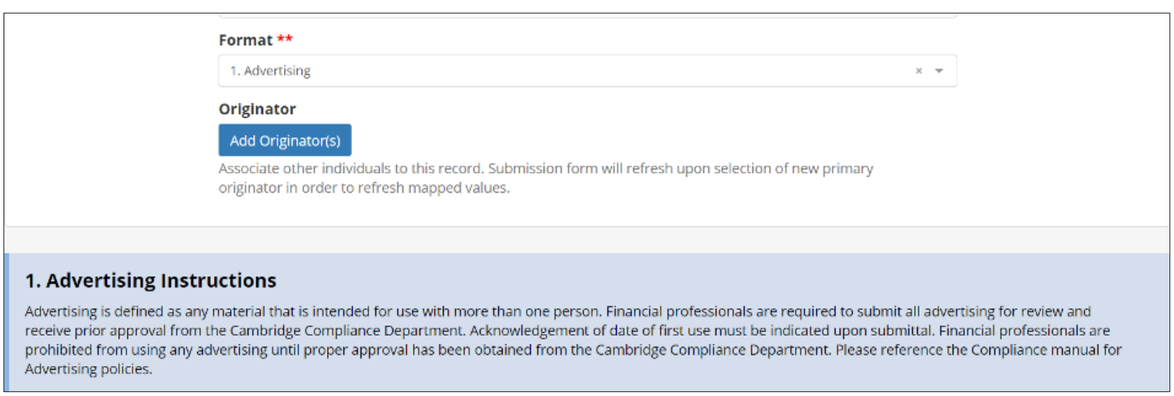
- **Step 3:** If the request is being submitted on behalf of another user, select **Add Originator(s)** to search for individuals or groups of individuals to be listed as originators. A pop-up will appear (shown below) to enable the user selection(s).

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.



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



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.

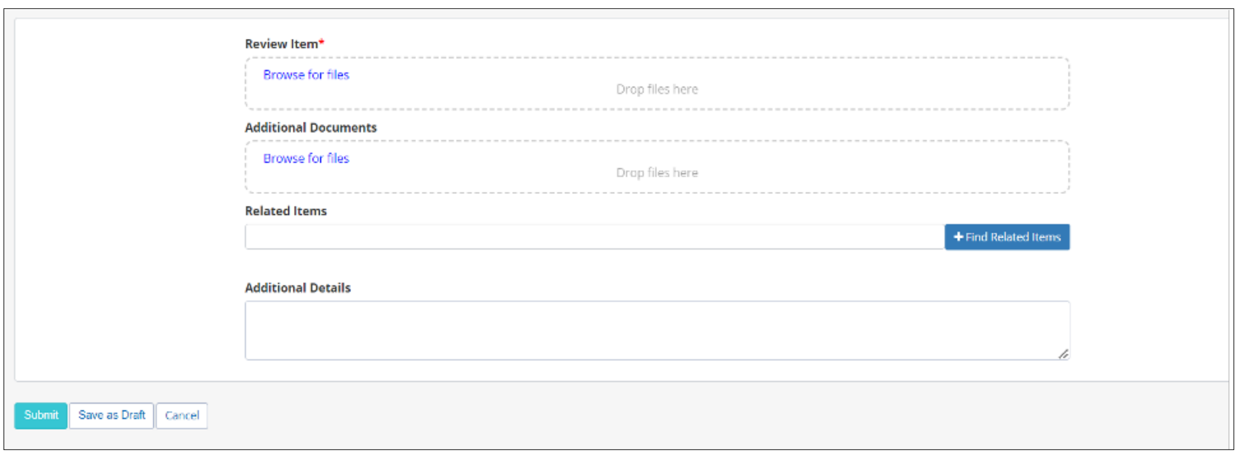
3.1.1.4 Submission Form Fields: Professional Awards and Achievements

- **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.

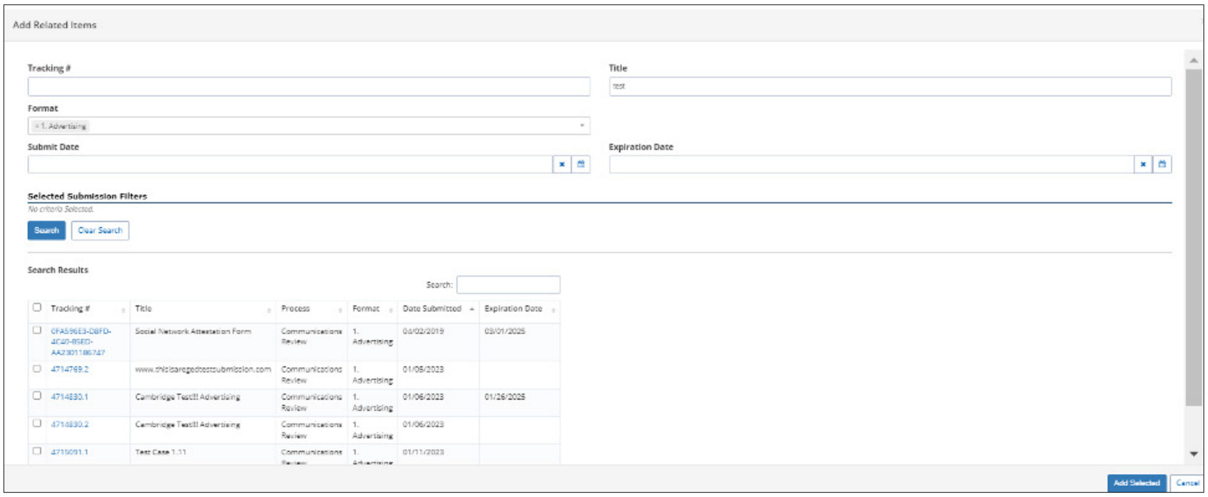
3.1.2 Attachments and Additional Information

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



- **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

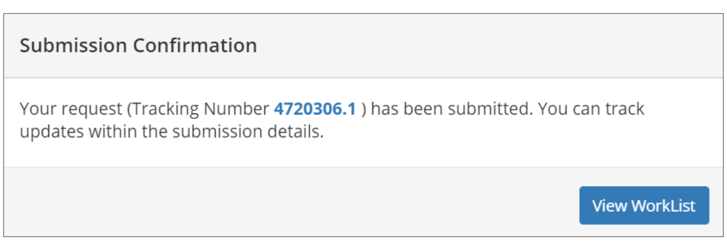
- **Step 7:** If the submission is related to a previously entered submission, go to Related Items and select **Find Related Items** to relate this submission to the previously entered submission(s). A pop-up window will appear (shown below) allowing you to search for submissions.



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

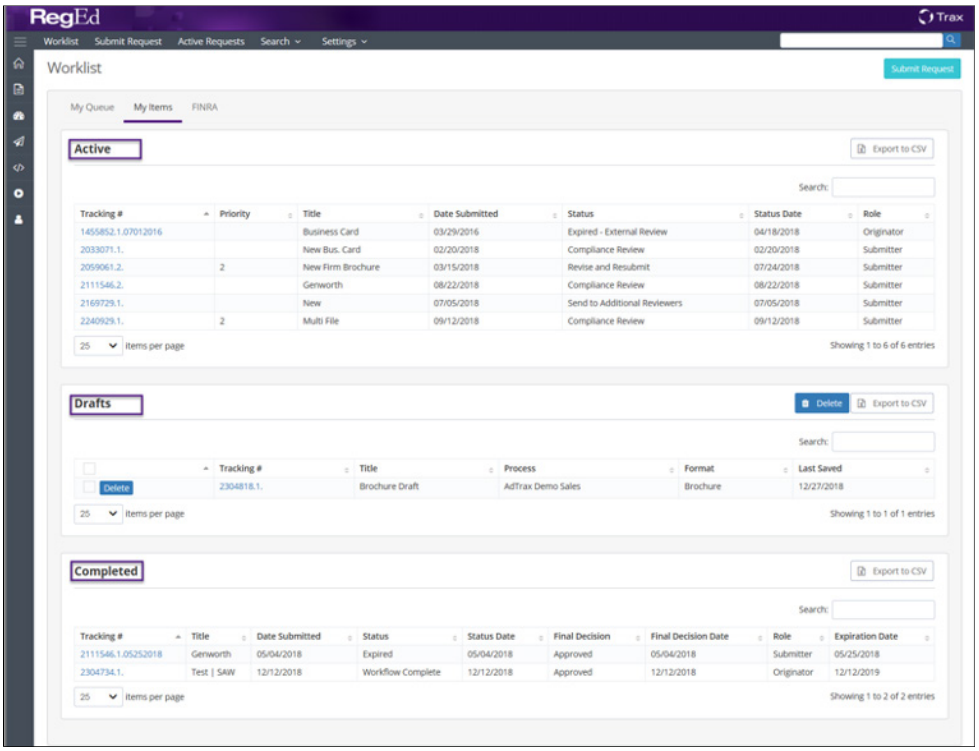
Once the search results are returned, check the items to add to the submission and select **Add Selected**.

- **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.



3.2 View Past Requests

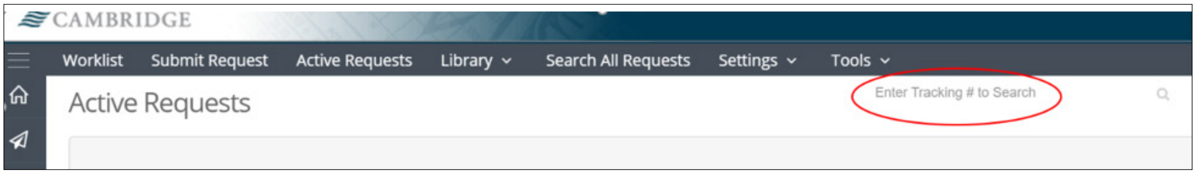
Submitters and originators can view the status and details of prior requests. To view a list of all requests for which you are either the Submitter or an Originator, select the **My Items** tab of the Worklist.



- **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.

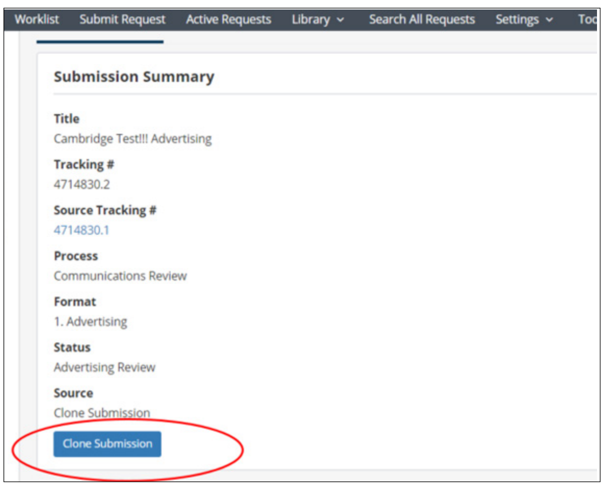
Users are also able to search for past submissions by its tracking number from any page in Communications Review. When searching by a tracking number with an exact match, the user will be taken to the Submission Overview screen for that item; partial searches will return all applicable submissions on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



3.3 Cloning a Previously Submitted Item

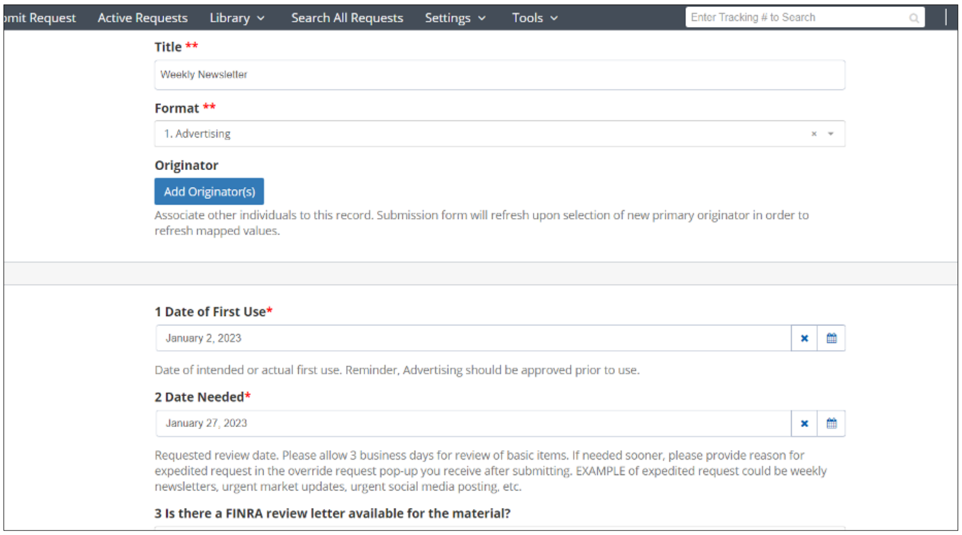
The clone feature allows use of a previously submitted item as the foundation for a new submission. This is particularly useful for items that must be submitted on a recurring basis, as details from a previous submission are copied into a new submission form, where any necessary updates can be made.

- **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.



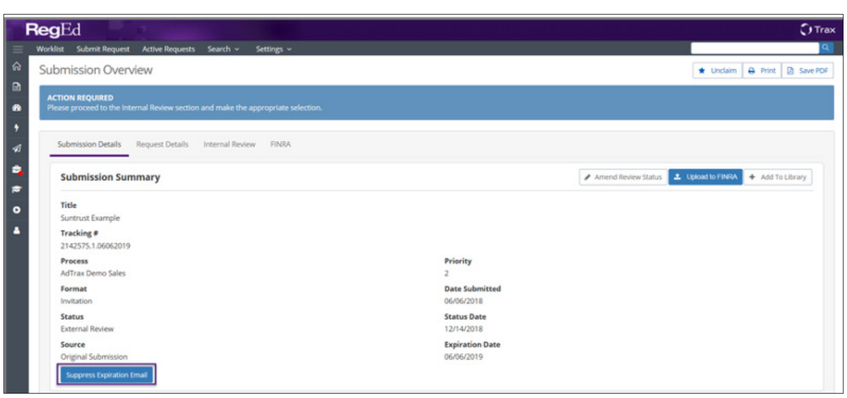
- **Step 3:** Select **Submit** to submit the request for review.

  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

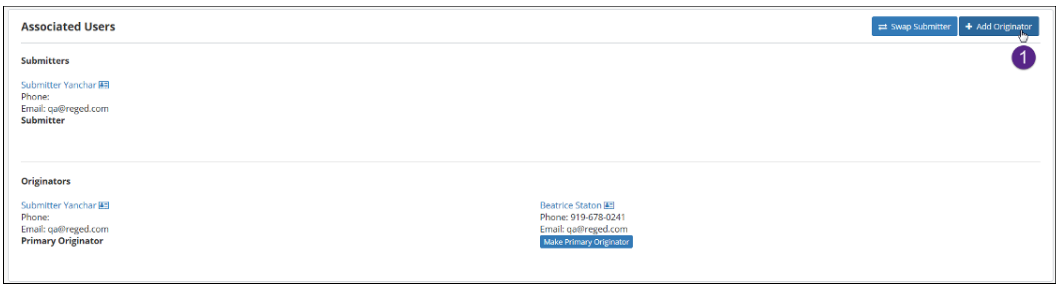
Users that do not wish to receive an expiration email on a given submission can easily suppress the expiration emails by selecting **Suppress Expiration Email** in the Submission Details section of the Submission Overview page.



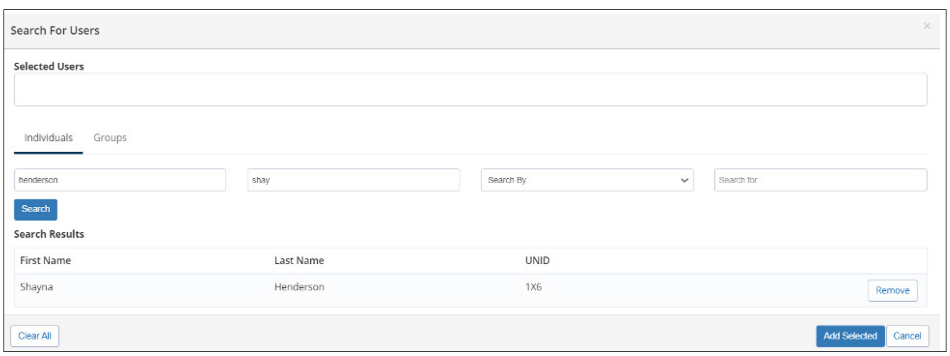
3.6 Managing Originators

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.

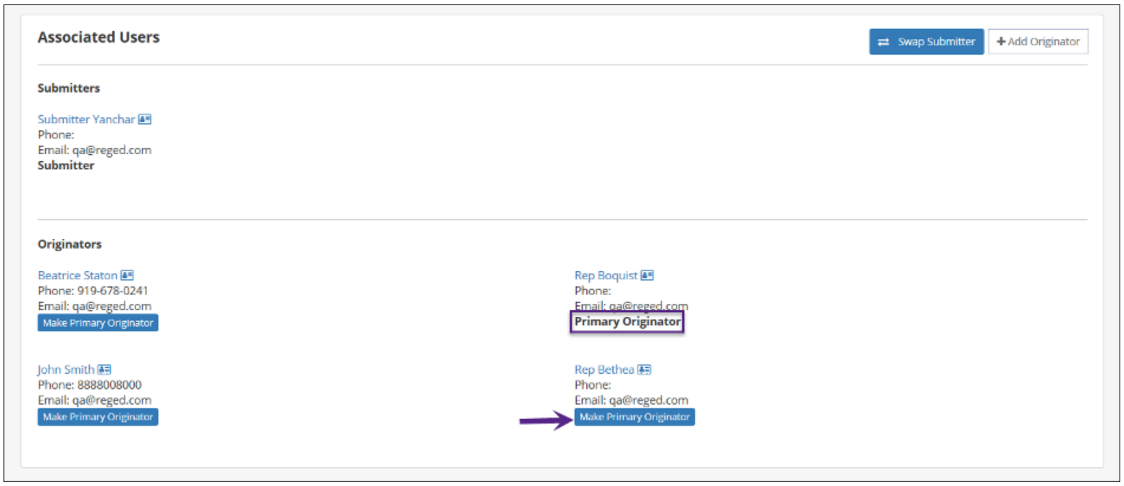


Search can be performed on an individual or group basis. Select **Add** next to the party(ies) you wish to add as an originator. Their name(s) will appear in the Selected Users field above.

- **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.

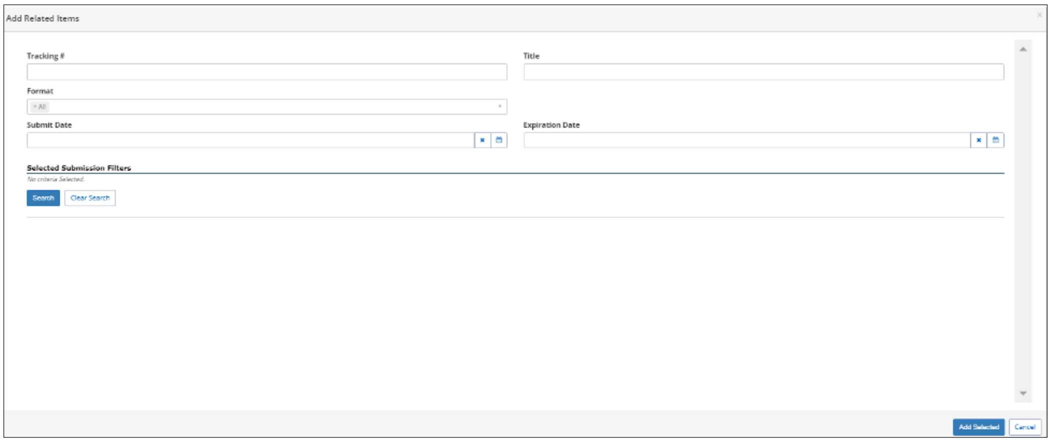
3.7.1 Adding a Related Item

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**.



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

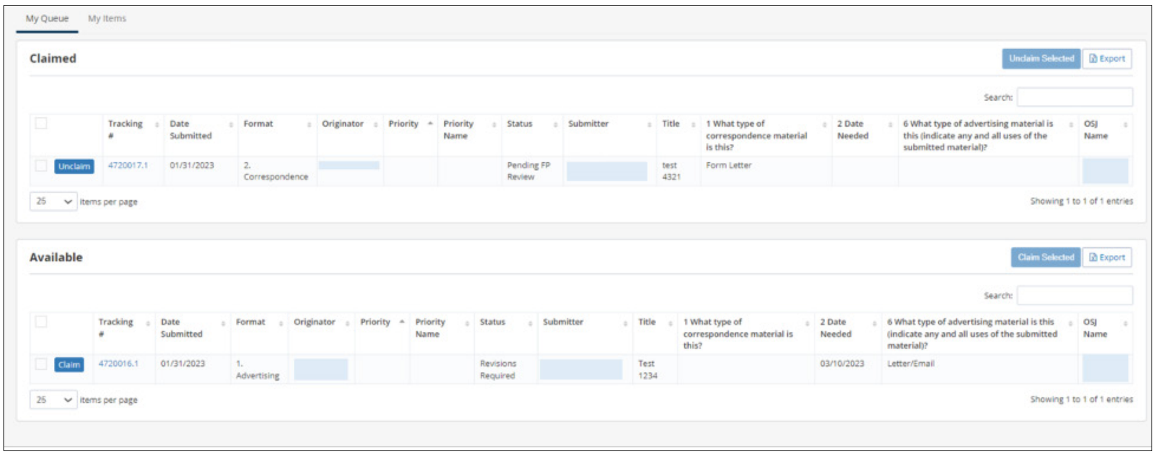
  The Search Results table enables users to search by any of the data in the columns shown. Multiple search terms will be treated as an “AND” condition (i.e., Test Case will find all submissions with “Test” AND “Case” in one of the columns).

- **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.

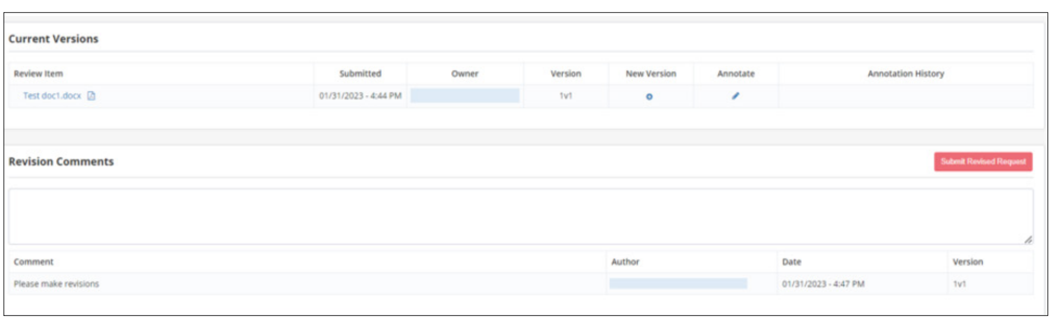
- **Step 2:** Once a task has been claimed, it will be moved to the Claimed Items list.



- **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.

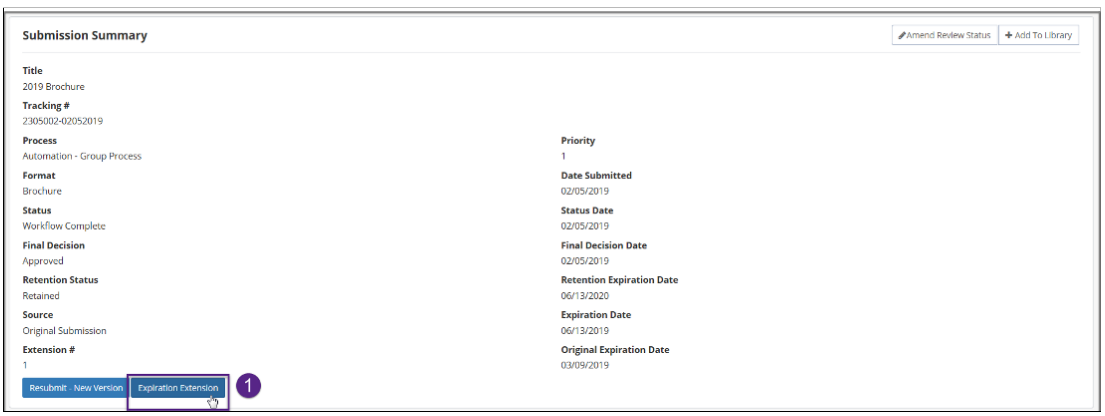


4.1 Requesting an Expiration Extension

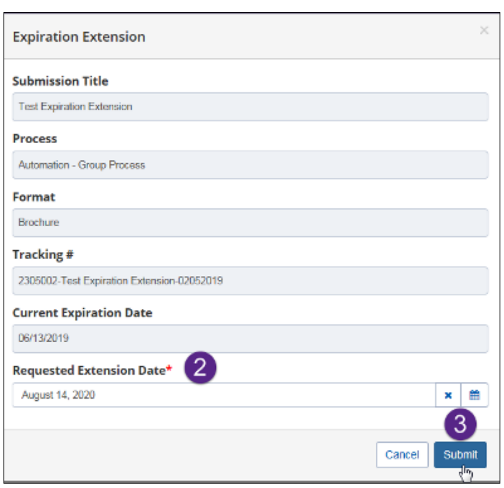
This feature allows submitters to extend the expiration date for previously approved submissions. To initiate the workflow, select **Expiration Extension**. The submitter will be notified via email when the review decision has been made.

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

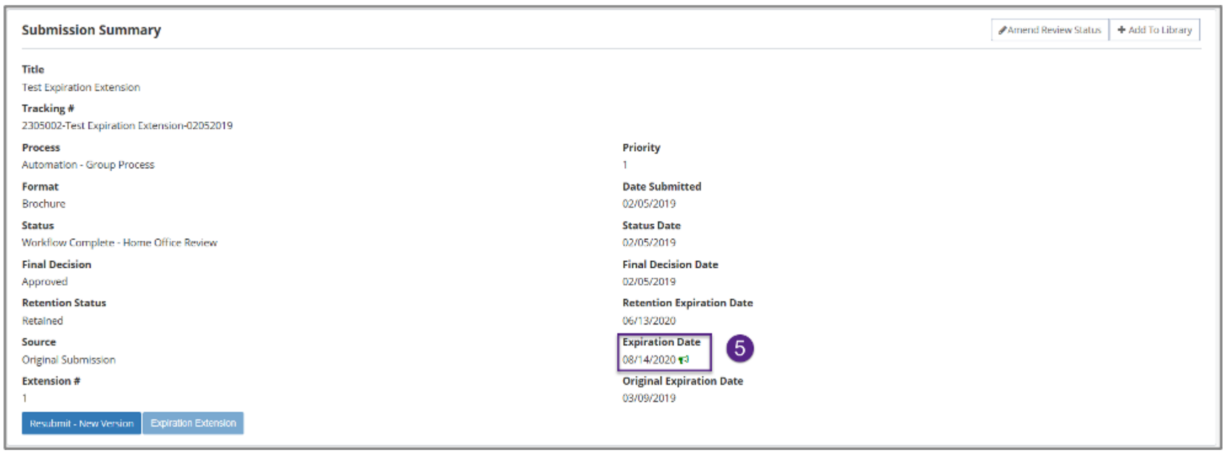
- **Step 1:** Select **Expiration Extension** to open a pop-up to request the date extension.



- **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.

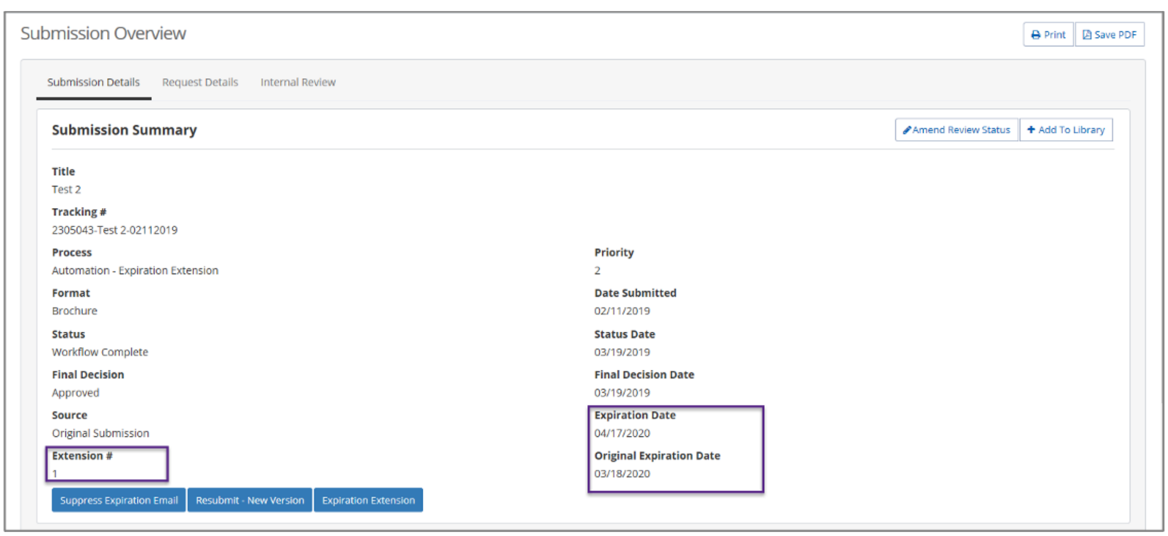


- **Step 3:** Select **Submit** to send the request for review
- **Step 4:** A message will be displayed confirming that the Expiration Extension request was successfully submitted.
- **Step 5:** Select **OK**. A green megaphone icon will appear next to the Expiration Date on the Submission Overview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



4.1.1 Submission Details (After Extension)

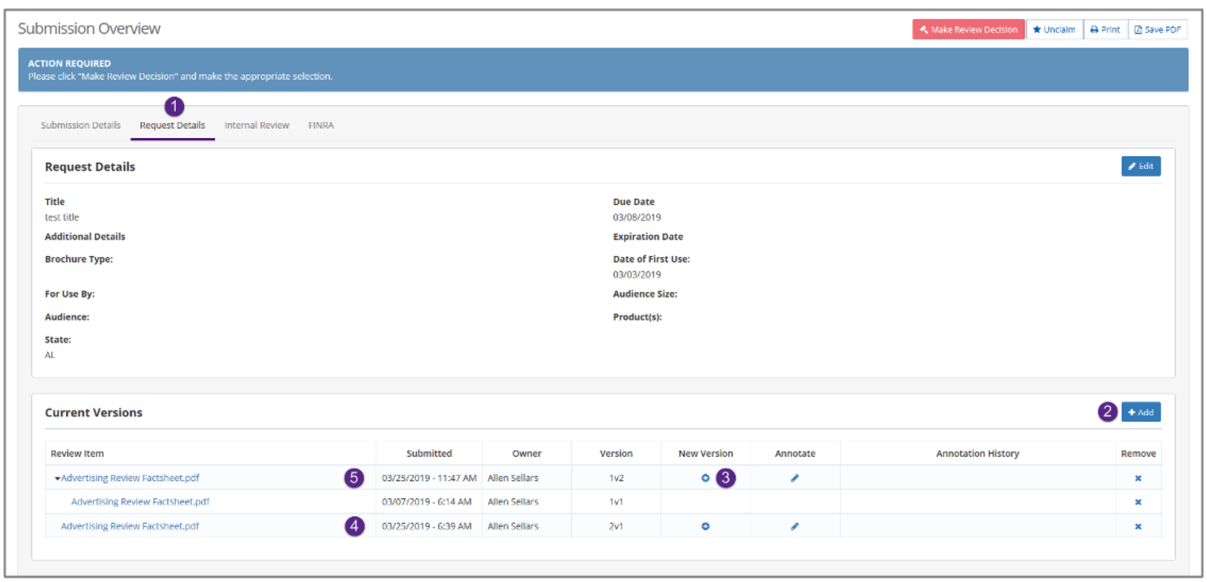
A submission that has been extended will show the Original Expiration Date, along with the current Expiration Date and the Extension # (denotes how many times a submission has been extended).



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.

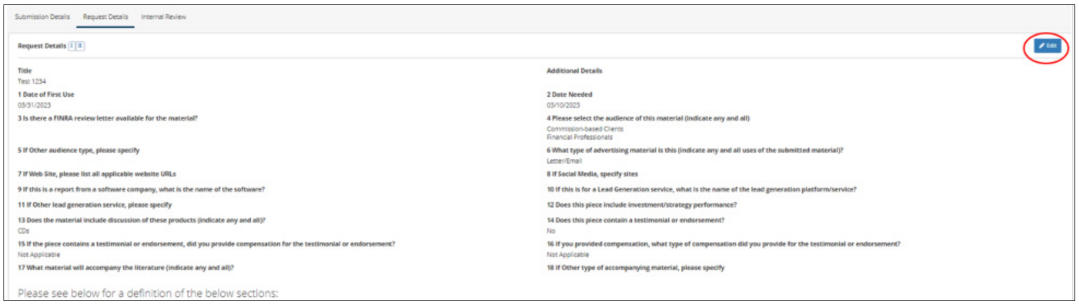
- **Step 1:** To upload the new document, go to the Current Version section of the Request Details box.
- **Step 2:** To upload a new Review Item, select **Add Review Items.**
- **Step 3:** To upload a new version of a previously submitted review item, select the **green plus sign** under the New Version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



- **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**.



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.

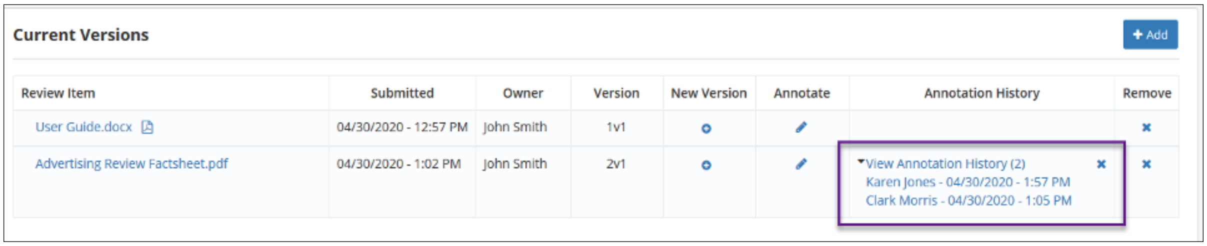
Annotations to documents are stored in PDF format. Annotations to audio or video files are stored as a list of comments with associated timestamp.

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.



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).

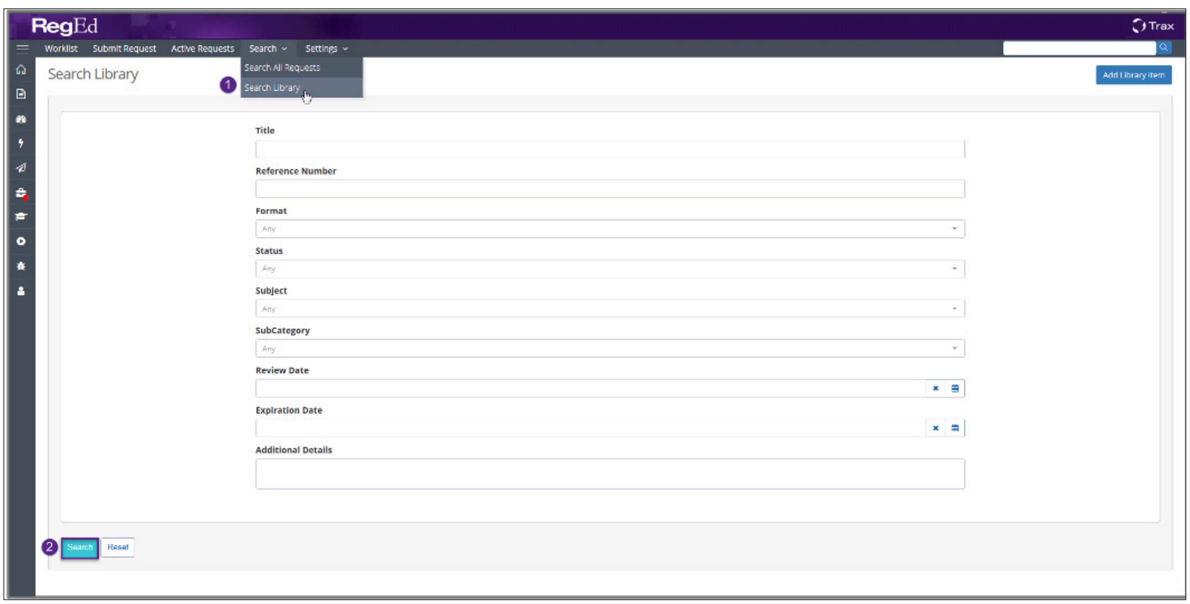
6.0 LIBRARY

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**.



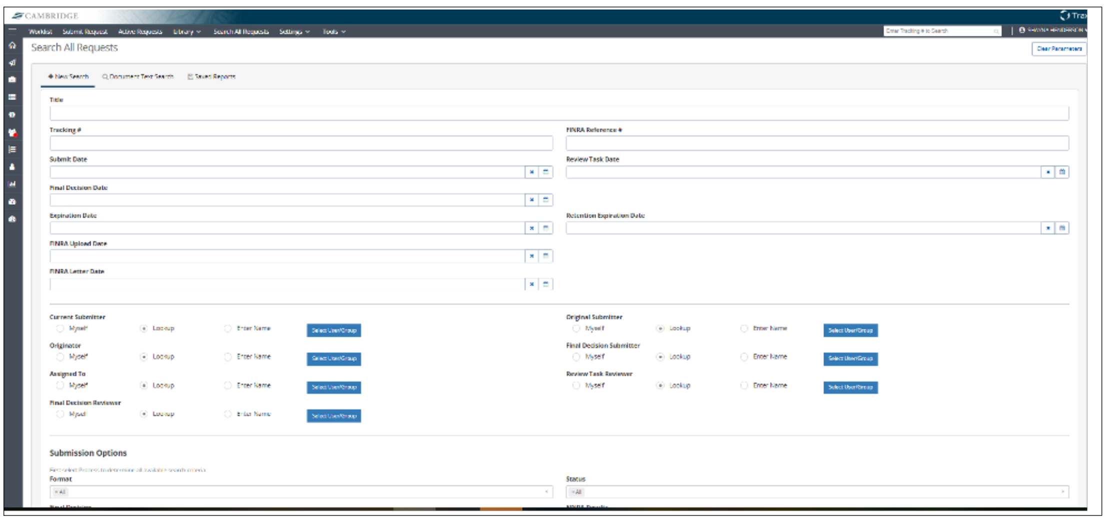
- **Step 3:** To view an item on the Library Search Results screen, simply select **View**.

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.



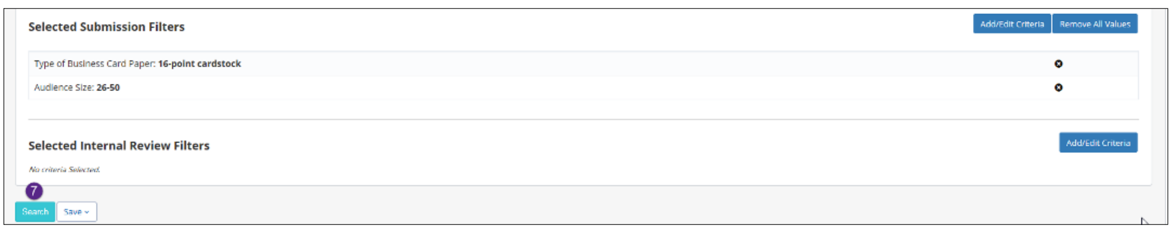
- **Step 2:** Under Submission Details, the user can select date ranges for different search categories. Date Values allow the user to enter a specific date range by which to search. Date Strategy allows the user to select a system defined date logic option.

- **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.

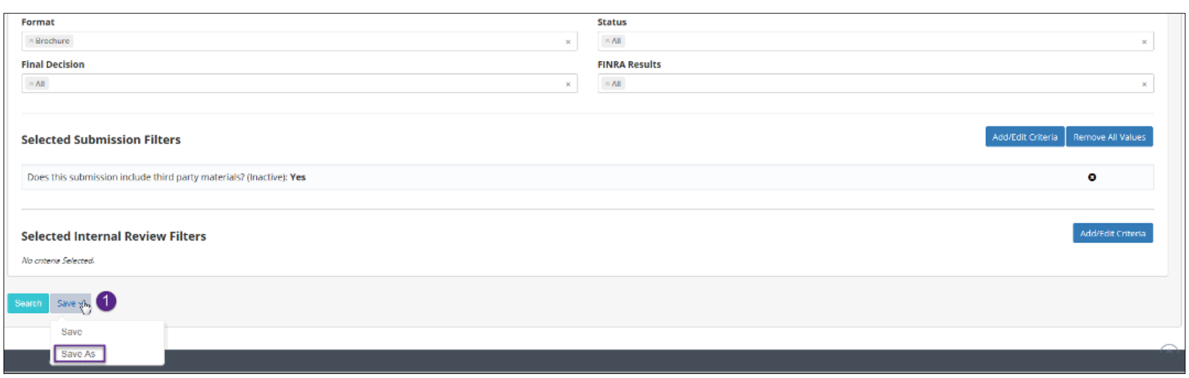
- **Step 5:** To search on specific submission form data, select the corresponding **Add/Edit Search Criteria** link.
- **Step 6:** On the Add Search Criteria screen, select the appropriate sub-section to expand the accordion for the Submission or Review question upon which you want to search. Select 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**.



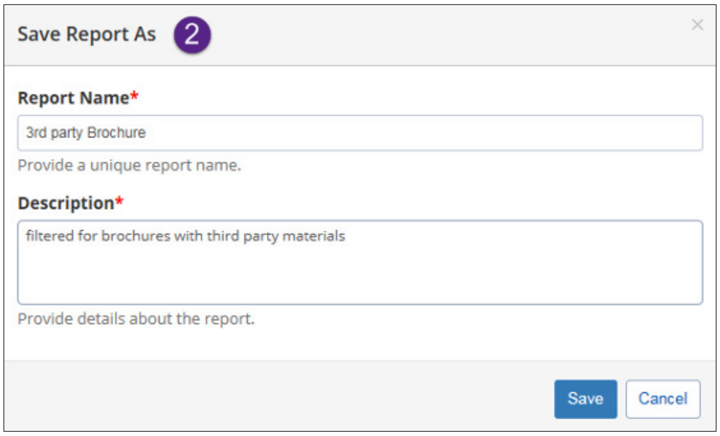
7.1.2 Saving a Search

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.

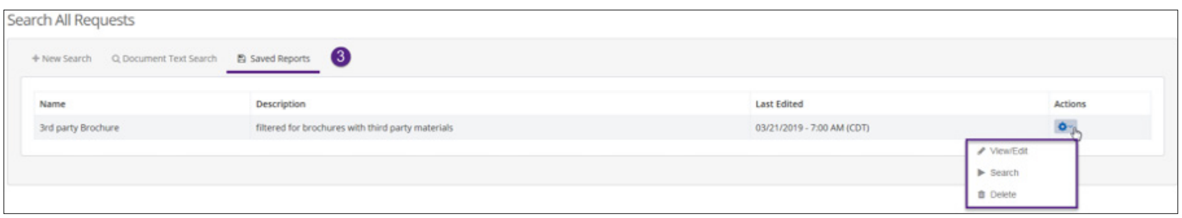
- **Step 1:** To save search criteria, select **Save As** to produce the Save Report As pop-up.



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



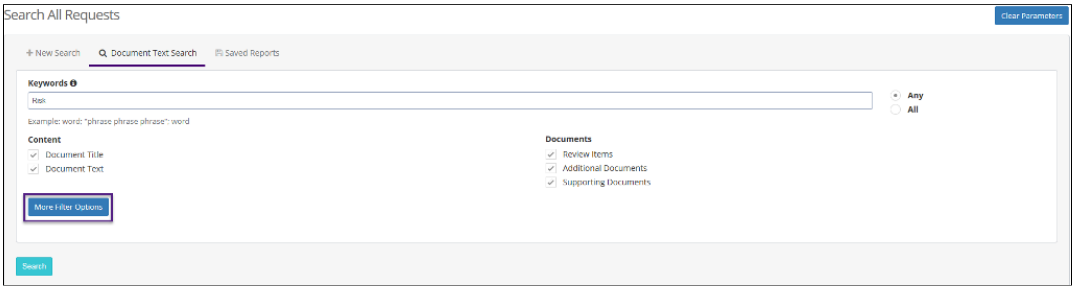
- **Step 3:** Saved searches will always appear under the Saved Reports tab on the Search All Requests screen.
    - » Select **Search** to run the search exactly as previously defined;
    - » Select **View/Edit** to edit the saved criteria prior to performing the search;
    - » Select **Delete** to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



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

1776 Pleasant Plain Road | Fairfield, Iowa 52556 | 800-777-6080