



EQUITABLE

Advisor MarTech

Content Review Workflows / Processes

Updated: 09.27.24



Content Inventory

MarTech Asset	Page(s)	# Flows	Status	As of...
 Email	6 - 7	4	APPROVED	07/11/23
 Web	8 - 10	4	APPROVED	09/26/24
 Downloadable Day-1	11	1	APPROVED	10/04/23
 Other Assets	12 - 14	8	APPROVED	11/29/23
 Events	15 - 16	2	APPROVED	12/18/23

Revision History

Date	Page	Workflow	Description
12/04/23	14	Other Assets <i>Greeting Cards</i>	The workflow for Greeting Cards has been redesigned. All other assets (i.e. monthly marketing insights, holiday greeting and birthday emails, retirement insights, etc. have been approved as of 8/31/23.
12/04/23	14	Other Assets <i>Birthday Card Automation</i>	The workflow for Birthday Card Automation has been added. All other assets (i.e. monthly marketing insights, holiday greeting and birthday emails, retirement insights, etc. have been approved as of 8/31/23.
12/13/23	8	Web Content <i>FMG created</i>	Notes added to clarify the instances when a content update to an existing piece would trigger a compliance review and when it would not.
01/29/24	16	Events <i>Other Events</i>	Updated to include an Important note under Step #1 indicating that the invitation must accompany the AdTrax submission in addition to any other event-related materials.
01/31/24	6	Email <i>Advisor created</i>	Important note added under Step #1 re: the types of email that must be distributed using FMG email, who is authorized to create custom emails, and the types of content that must be submitted in AdTrax before being created in FMG.
01/31/24	16	Events <i>Other Events</i>	Note added for Step #10 re: if event was created using a platform other than FMG, the AdTrax ref # needs to be included with the email sequence submission that is created in FMG.
02/21/24	16	Events <i>Other Events</i>	Important Note for Step #1 modified to add verbiage re: pre-approved material and adding Compliance # and disclosures to FMG Event submission. Step #6 removed. Step #7 updated to Pinpoint G&E only. Steps 6 – 12 re-numbered.
08/13/24	9	Web Content <i>Advisor Created</i>	Alternate workflow (Steps #5 – 9b) added to account for specific types of content that will be reviewed by AdC and require an AdTrax submission.
09/27/24	12	Social Media <i>Day-1</i>	Removed workflow and associated references as the Day-1 use case is no longer relevant given the rollout of native social media functionality within the Equitable Advisors Marketing Suite.

High-level Workflows by Asset Type

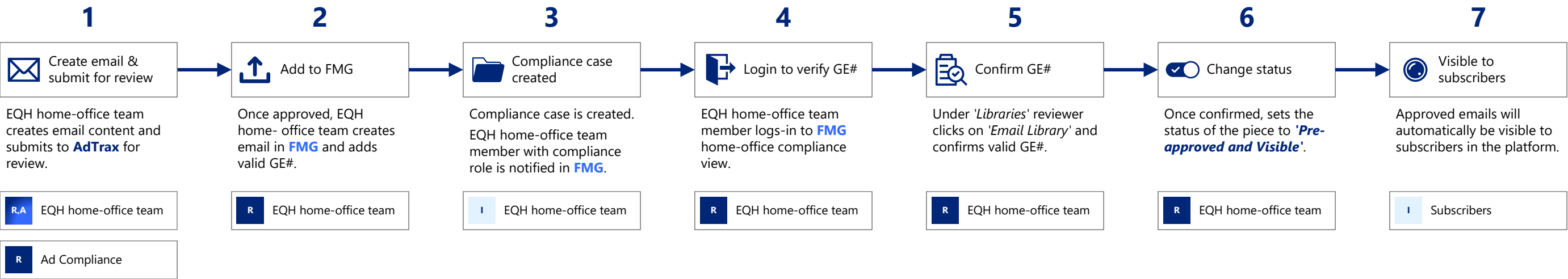
Content to review	Content creator	Reviewer(s)	Review Platform	Notes / Questions	
 Email	EQH Home Office	AdC	EQH Home Office	AdTrax	AdC reviews & approves in AdTrax, EQH home-office verifies GE# is present and valid in FMG. See Important note on page 5 for specific details regarding content submission. BD principal reviews & approves, EQH home-office verifies GE# is present and valid in FMG.
	FMG	AdC		FMG platform	
	Advisor (PPG+ only)	AdC		FMG platform	
	3 rd Party (e.g. LPL)	BD Principal	EQH Home Office	FMG platform	
 Web	EQH Home Office	AdC	EQH Home Office	AdTrax	AdC reviews & approves in AdTrax, EQH home-office verifies GE# is present and valid in FMG. May consult with AdC, if needed. BD principal reviews & approves, EQH home-office verifies GE# is present and valid in FMG.
	FMG	AdC		FMG platform	
	Advisor	BCM		FMG platform	
	3 rd Party (e.g. LPL)	BD Principal	EQH Home Office	FMG platform	
Day-1  Downloadables	EQH Home Office	AdC	EQH Home Office	AdTrax	AdC reviews & approves in AdTrax, EQH home-office verifies GE# is present and valid in FMG.
	FMG	AdC	EQH Home Office	AdTrax	
	Advisor	Not applicable in FMG			
 Other assets	FMG	AdC		FMG platform	Includes: • Monthly Marketing Insights • Holiday Greetings • Happy Birthday (email) • Retirement Insights • eBooks and Quizzes • Referral Program (email sequence and a web form) • Birthday Card Automation (printed)

High-level Workflows by Asset Type Cont.

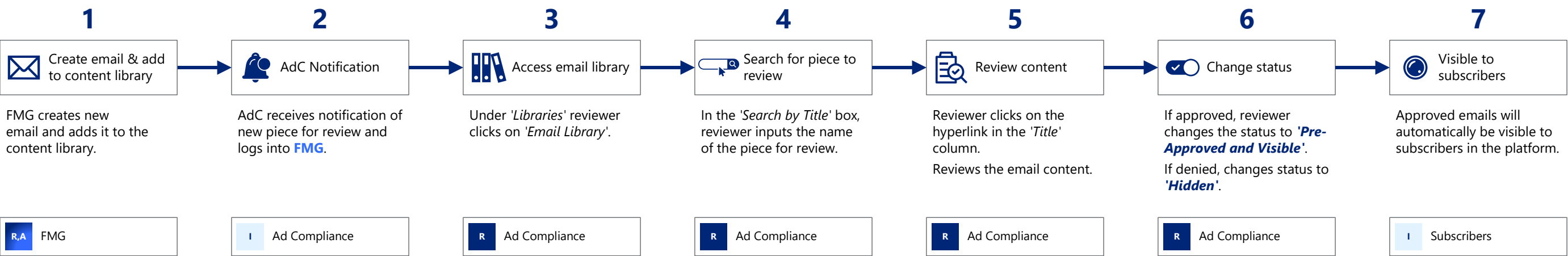
Content to review	Content creator	Reviewer(s)	Review Platform	Notes / Questions
Initial Sampling				
 Greeting Cards	FMG	AdC	FMG platform	AdC reviews & approves random sampling of FMG-created greeting cards.
Customization				
 Greeting Cards	FMG	BCM AdC (Consulted)	FMG platform	BCM monitors queue, reviews and approves. May consult with AdC, if needed.
Year-end Client Appreciation Event				
 Webpage	FMG	BCM	FMG platform	Advisor creates webpage in FMG & confers with BCM on reporting method (normal T&E or Pinpoint entry). Webpage reviewed and approved in FMG.
 Email Sequence	FMG	AdC	FMG platform	Email sequence created in FMG. Reviewed and approved by AdC in FMG.
Other Events (Seminars, Webinars, etc.)				
 Seminar-related materials	Advisor	AdC	AdTrax	AdC reviews & approves in AdTrax.
 Webpage	FMG	BCM	FMG platform	Advisor creates webpage in FMG & confers with BCM on reporting method (normal T&E or Pinpoint entry). Webpage reviewed and approved in FMG.
 Email Sequence	Advisor	AdC	FMG platform	Email sequence created in FMG. Reviewed and approved by AdC in FMG.

Compliance Workflow | Email (1 of 2)

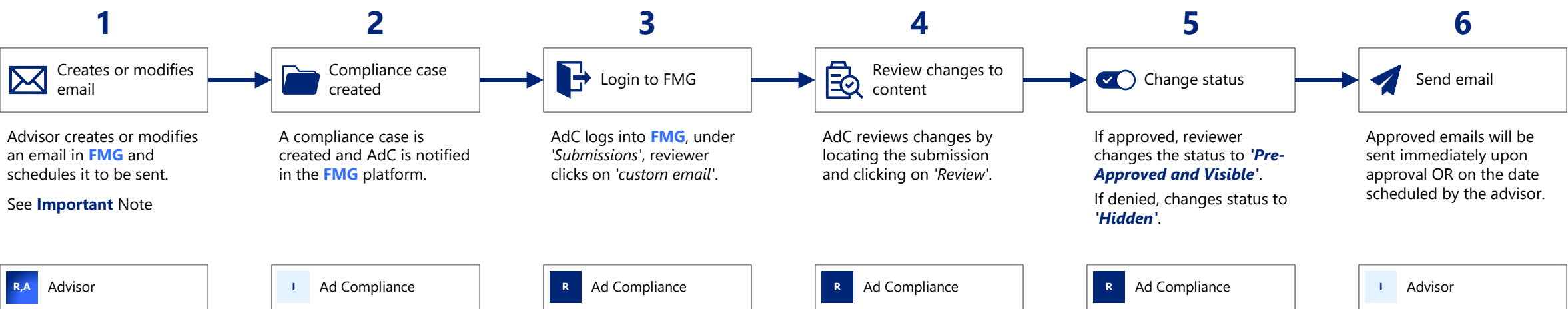
EQH home-office created



FMG created



Advisor created

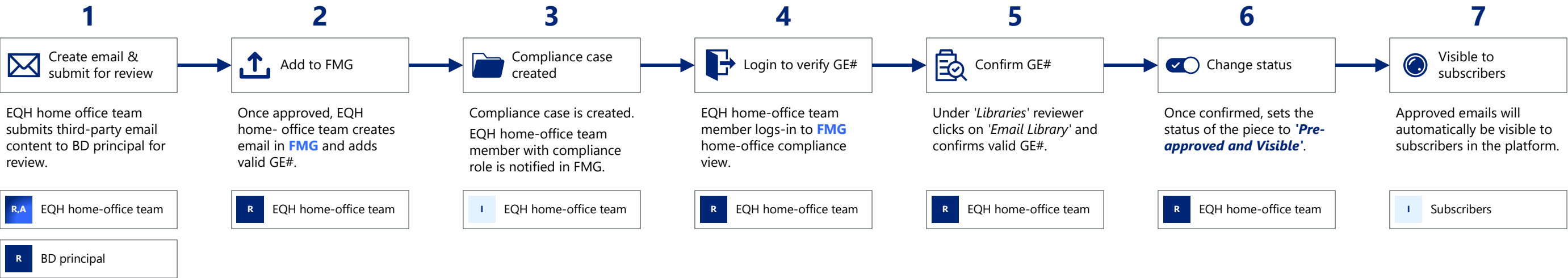


Important | Advisor created Step #1

- 1. All commercial e-mail (i.e., sales/marketing material) that does not constitute client correspondence subject to branch correspondence review procedures MUST be distributed via the FMG e-mail platform.
- 2. Financial Professionals must be PPG and above in order to create custom commercial e-mail content for e-mail distribution
- 3. Custom commercial e-mail content from any submitter referencing, discussing, or providing information about specific proprietary and/non-proprietary products, services, or investments MUST BE submitted in AdTrax for Advertising Compliance review and approval before the email is created in FMG.

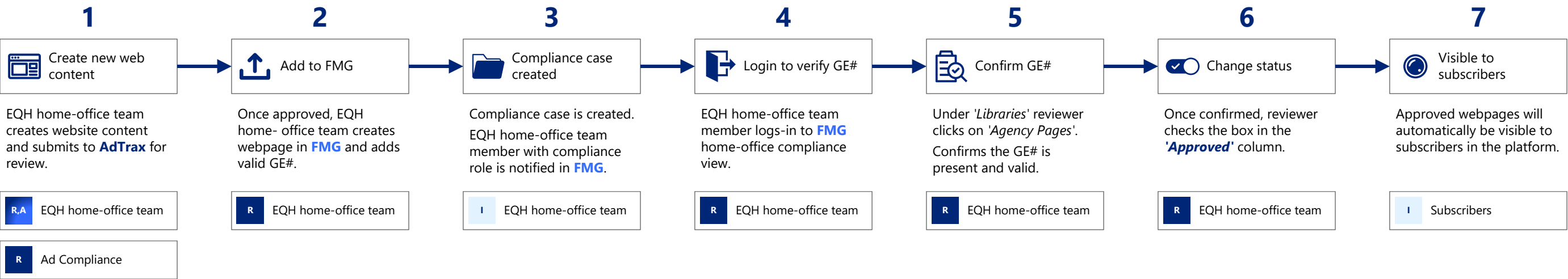
Compliance Workflow | Email (2 of 2)

3rd party (e.g. LPL)

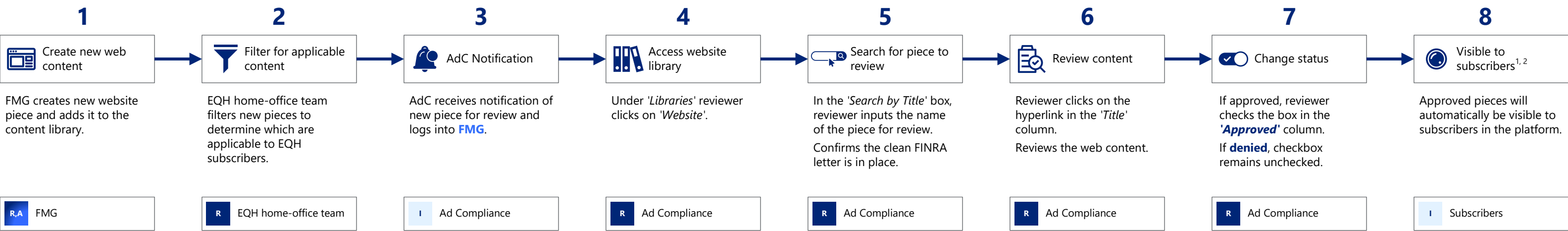


Compliance Workflow | Web (1 of 3)

EQH home-office



FMG created (both syndicated & web content)

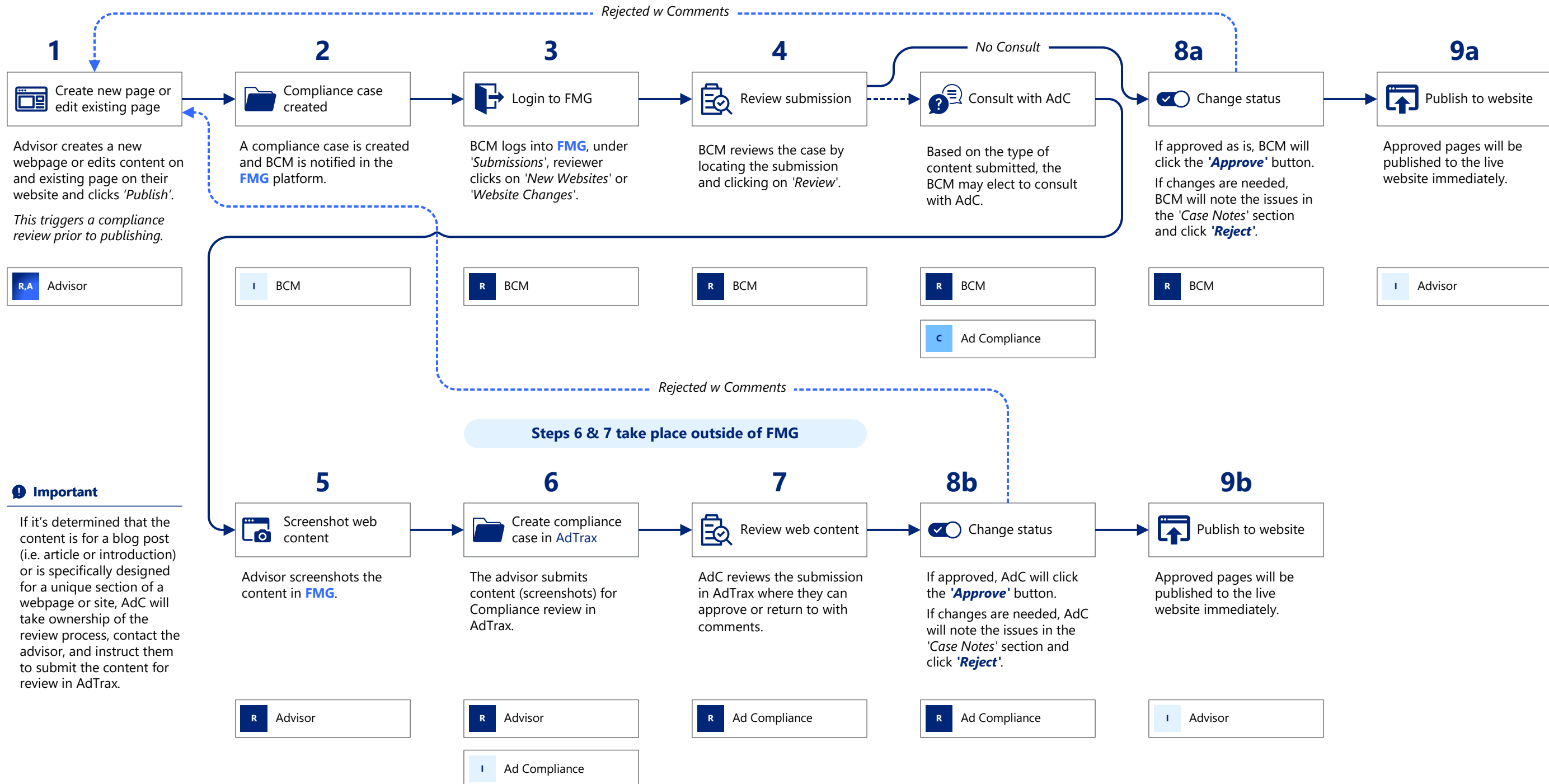


Notes

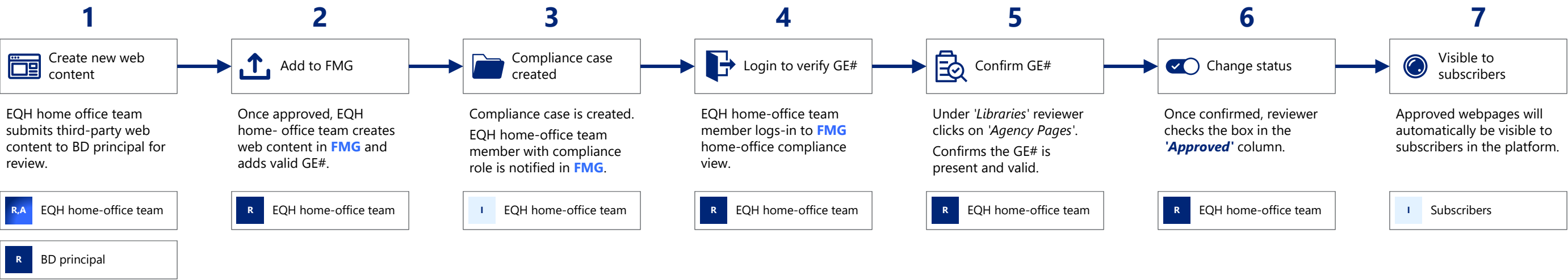
- FMG created** Step #8:
- ¹ Content updates that are **objective** in nature (example: annual updates like tax bracket changes) will not trigger a compliance review.
 - ² For content updates that are **subjective** in nature, FMG will re-create the piece, which will trigger a compliance review.

Compliance Workflow | Web (2 of 3)

Advisor created (new webpage or edits to an existing page)



3rd party (e.g. LPL)



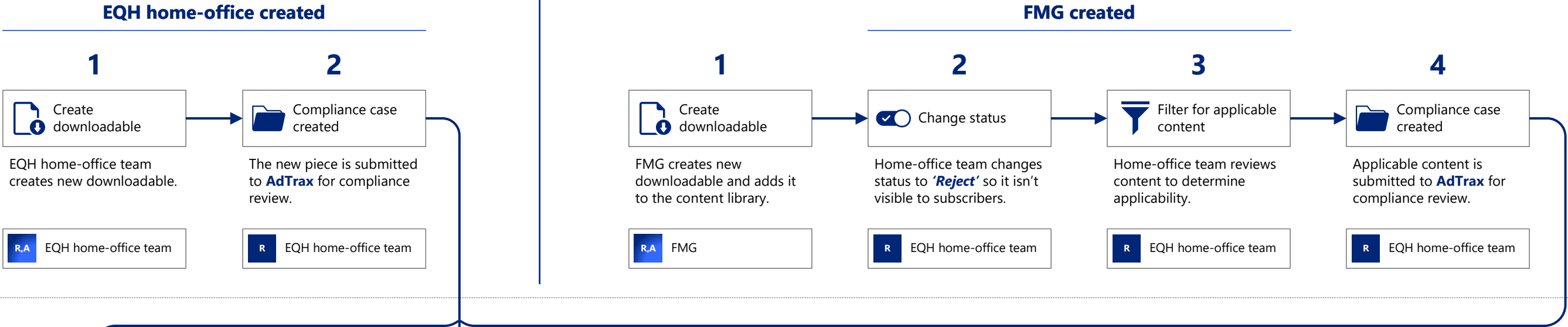
Compliance Workflow | Downloadables: Day-1

Content Creation & Intake

Content creation originates in either of two channels:

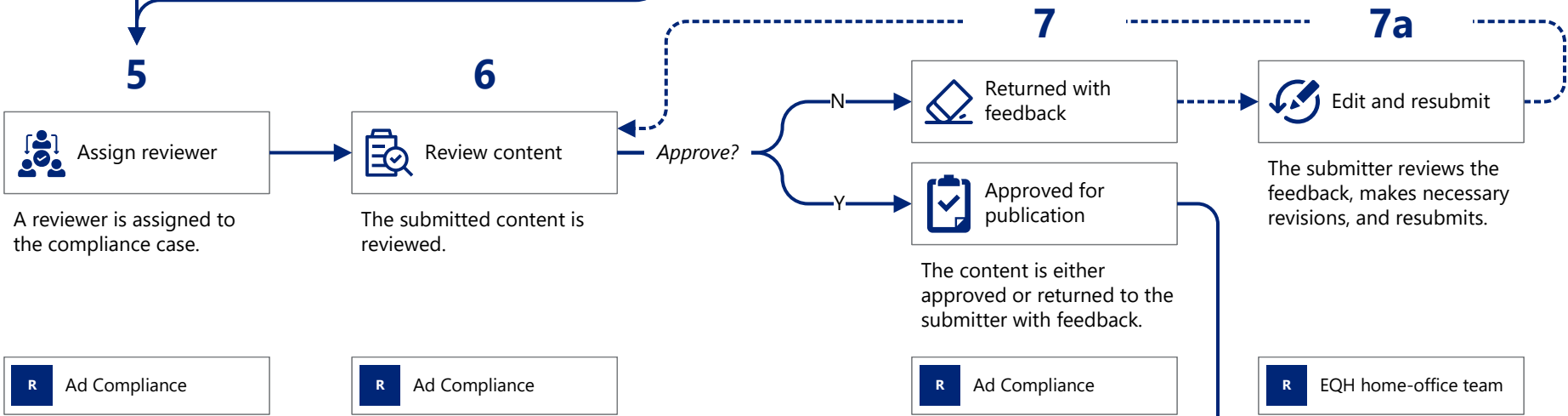
- 1) Equitable-created, or...
- 2) FMG-created

While FMG-created content will require a few additional steps prior to intake, both scenarios culminate in the submission of the content to **AdTrax** for Compliance review.



Compliance Review

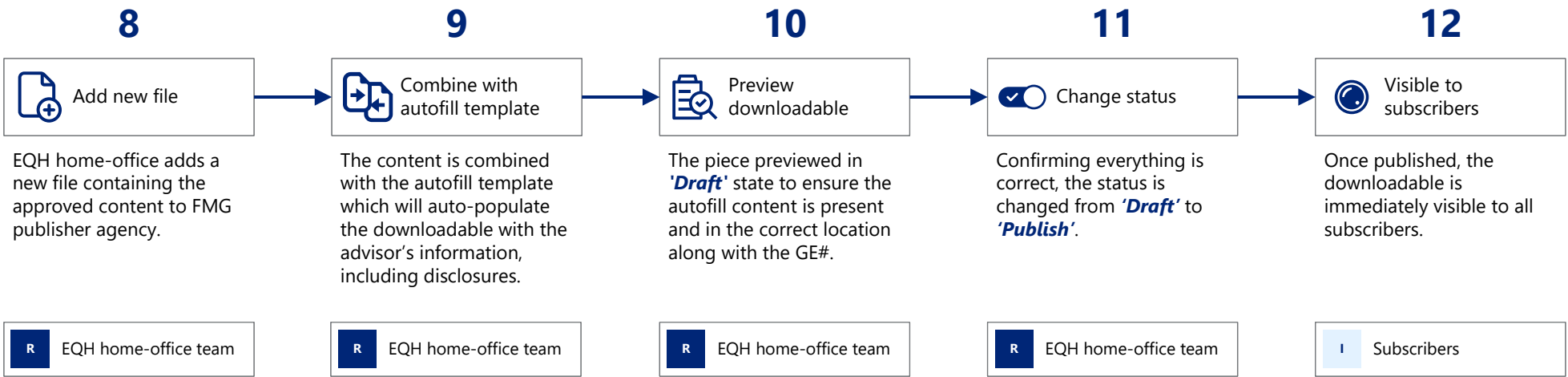
Once submitted in **AdTrax**, AdC will follow their standard processes for reviewing and approving of content.



Preview & Publish

Approved content is then combined with a .pdf template capable of automatically populating the file with information from the advisor's approved profile in FMG, such as name, address, telephone# email address, logo, etc.

Approved disclosures are also 'auto-filled' into the document.



Notes

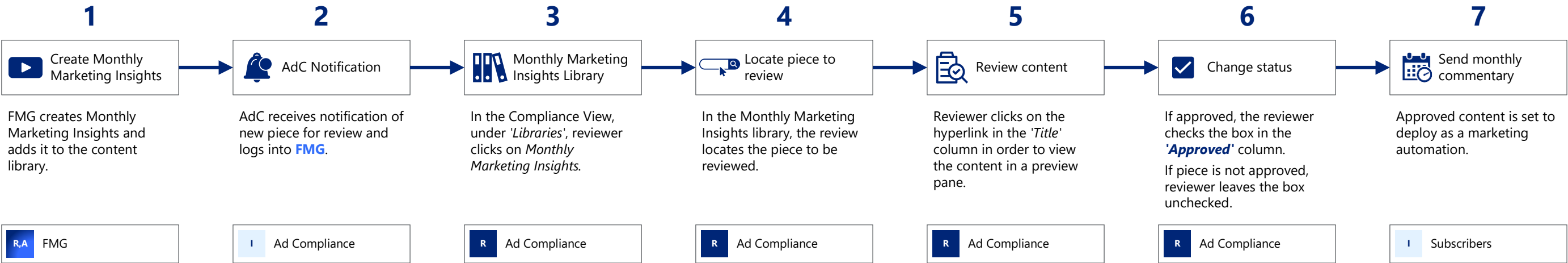
- Step #8: A drawback of using this approach; if FMG ever updates the content, the 'Equitable-branded' version will not auto-update since the original FMG-created piece was rejected under **FMG created** Step #2.
- Step #12: Downloadables are 'off-platform' pieces and therefore cannot be 'locked' to prevent unauthorized changes. It is the responsibility of the end user to adhere to policy/process re: compliance review & approval prior to use.

Monthly Marketing Insights

The Monthly Marketing Insights (MMI) campaign is a monthly newsletter covering the previous month's market events and trends.

To activate, the subscriber must toggle on the *'Send a Monthly Commentary + Video'* under the Automated Marketing section of the Marketing Tools suite.

Deployed as an email with video.

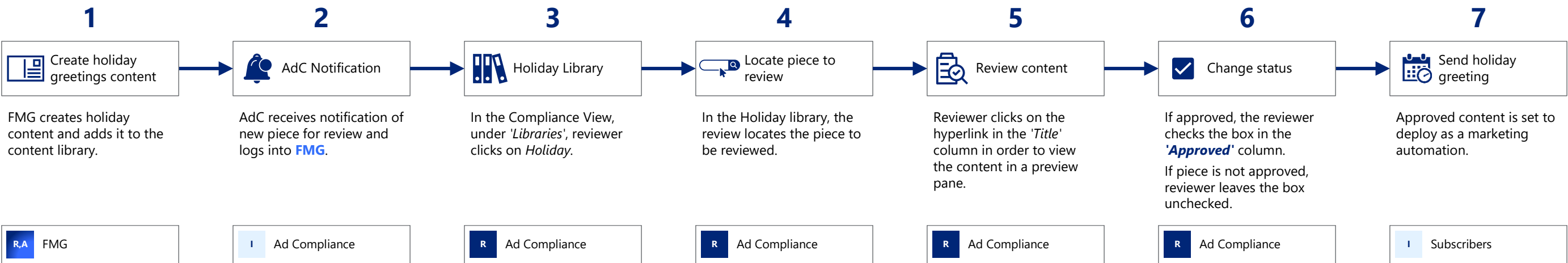


Holiday Greetings

Holiday Campaigns are designed to send subscriber contacts a meaningful message, on or shortly before the major holidays.

To activate, the subscriber must toggle on the *'Send Greetings on Major Holidays'* under the Automated Marketing section of the Marketing Tools suite.

Deployed as an email with link to content hosted on subscriber's website.

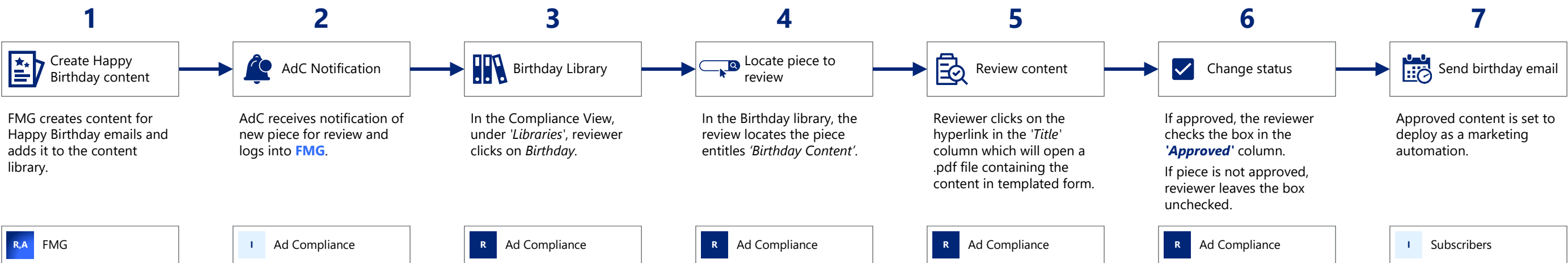


Happy Birthday (email)

The Happy Birthday campaign provides personalized birthday messages to the subscriber's contacts.

To activate, the subscriber must toggle on the *'Send Your Contacts a Birthday Email'* under the Automated Marketing section of the Marketing Tools suite.

Deployed as an email.



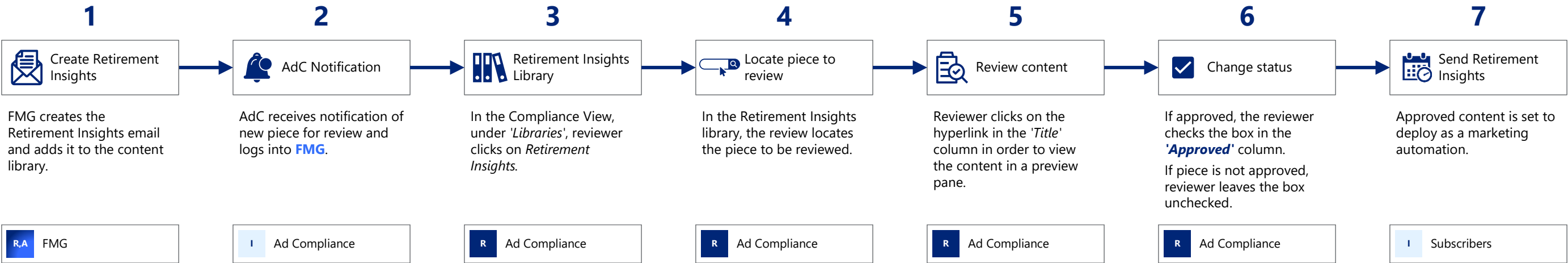
Compliance Workflow | Other Assets (2 of 3)

Retirement Insights

This campaign features topics like timely news, Social Security, and investment strategies for those nearing retirement or recently retired.

To activate, the subscriber must toggle on the *'Send Bimonthly Retirement Newsletter'* under the Automated Marketing section of the Marketing Tools suite.

Deployed as an email in an newsletter format.



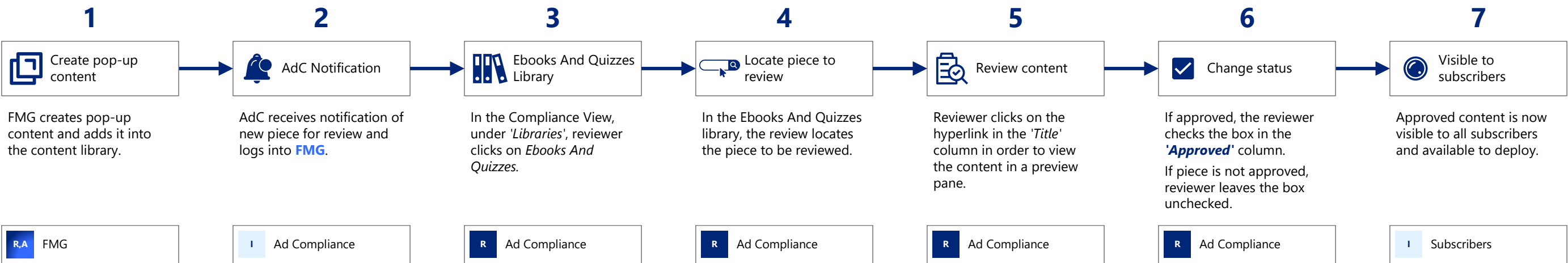
Ebooks & Quizzes

Ebooks and quizzes can be enabled on the subscriber's website to increase lead generation.

To activate, the subscriber must navigate to *Website > Pop-ups* and enable the pop-up on a specific page or pages on their website.

Deployed as *'pop-up'* content hosted on subscriber's website.

Ebooks may also be located under 'Downloadables'

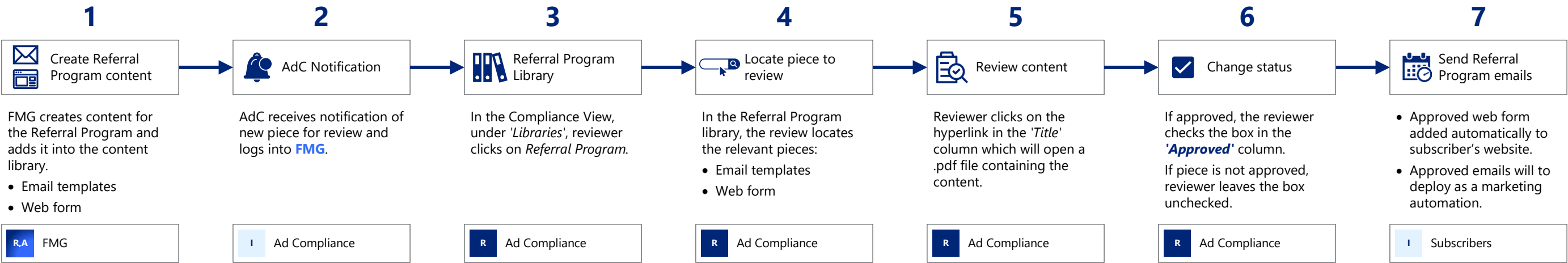


Referral Program

The Referral Program contains an email sequence sent to the subscriber's contacts with a CTA to capture contact information for prospective clients.

To activate, the subscriber must toggle on the *'Ask Clients for Referrals'* under the Automated Marketing section of the Marketing Tools suite.

Deployed as an email with a link to a web form hosted on the subscriber's website.

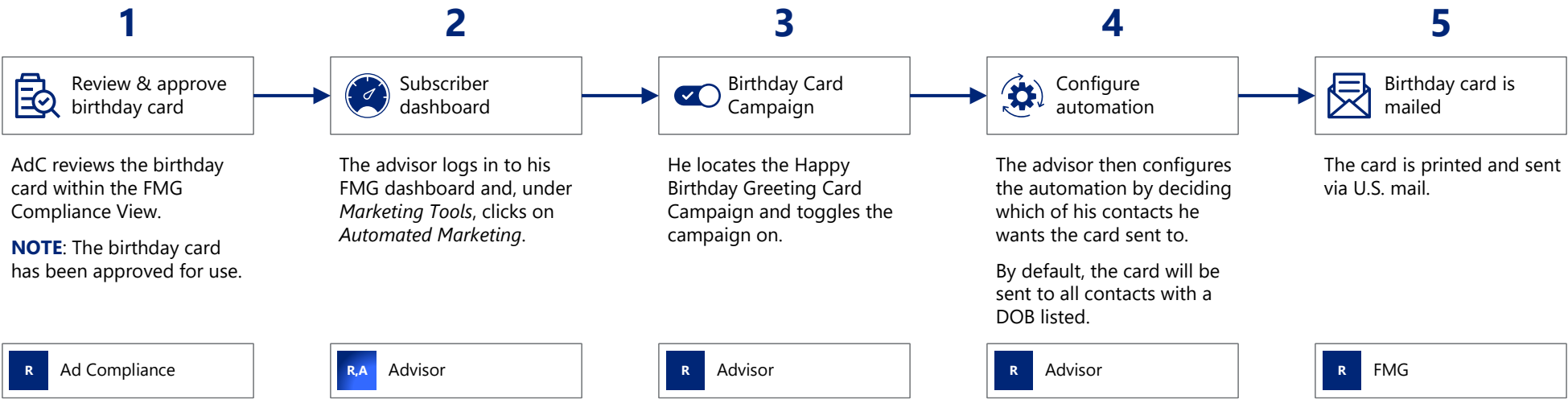


Compliance Workflow | Other Assets (3 of 3)

Birthday Card Automation

Birthday cards are the only printed greeting card that can be automated. The card cannot be edited by the user. Once approved for use, it will not need to be approved with each subsequent use.

The subscriber navigates to [Marketing Tools > Automated Marketing](#), locates the Happy Birthday Greeting Card Campaign, enables the campaign (toggle on) and configures the audience.

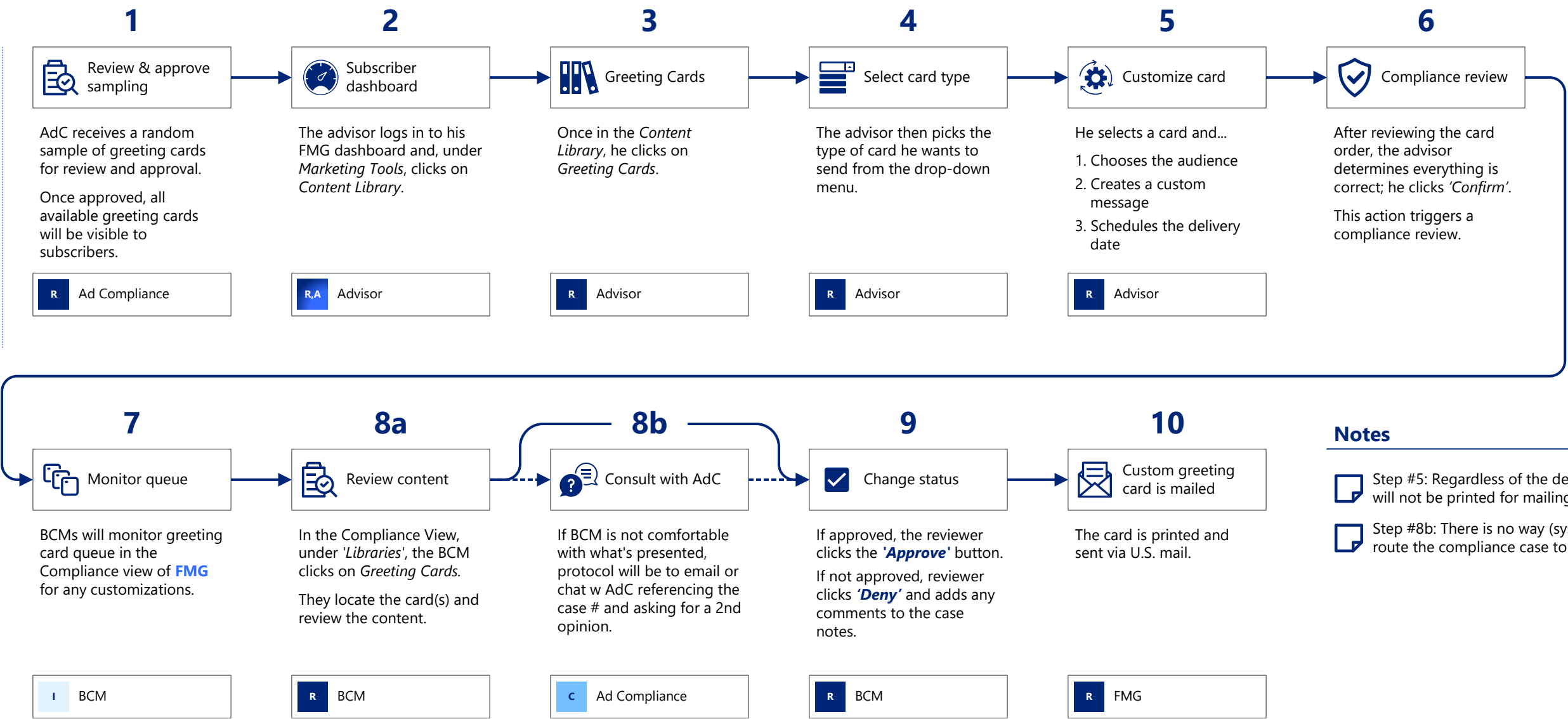


Greeting Cards

In lieu of sending an email greeting, subscribers can send a printed greeting card.

To use, the subscriber navigates to [Content Library > Greeting Cards](#), selects the card they wanted to send, chooses their audience, add a custom message (requires compliance review), and choose a delivery date.

Deployed as a printed card via traditional mail.

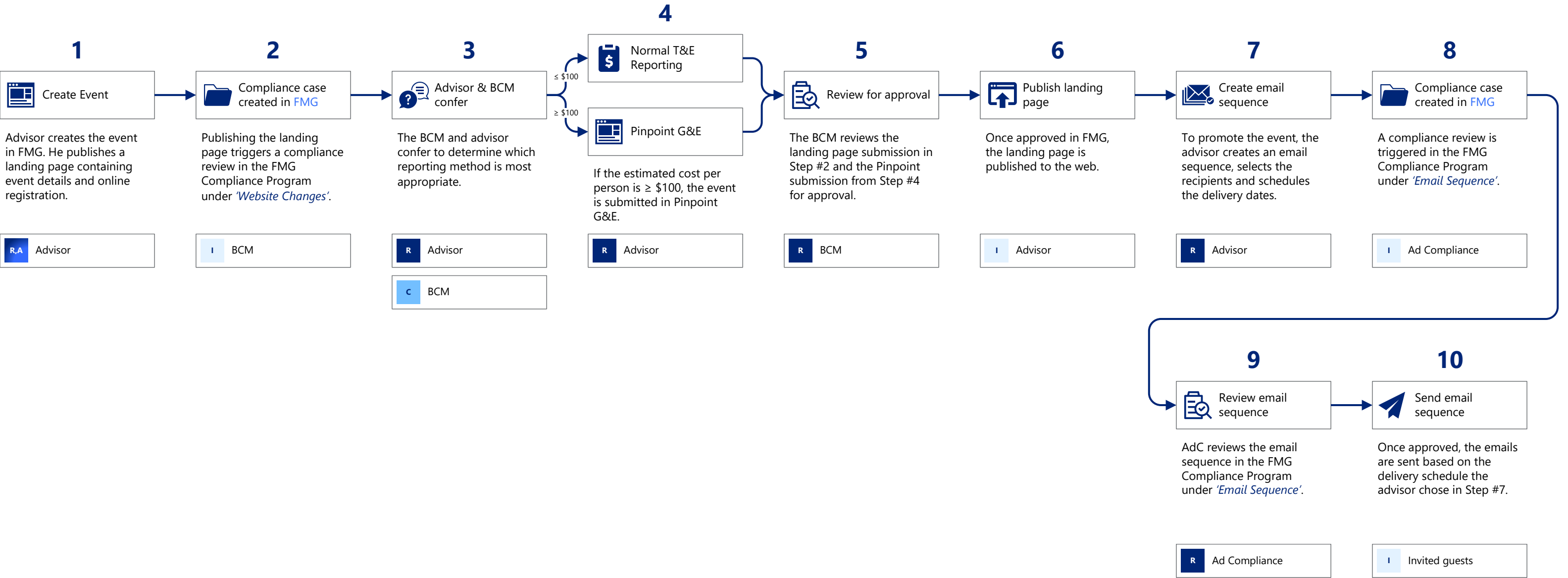


Notes

- Step #5: Regardless of the delivery date chosen, the card will not be printed for mailing until it has been approved.
- Step #8b: There is no way (systemically) for the BCM to route the compliance case to AdC to review.

Compliance Workflow | Events (1 of 2)

Year-end Client Appreciation

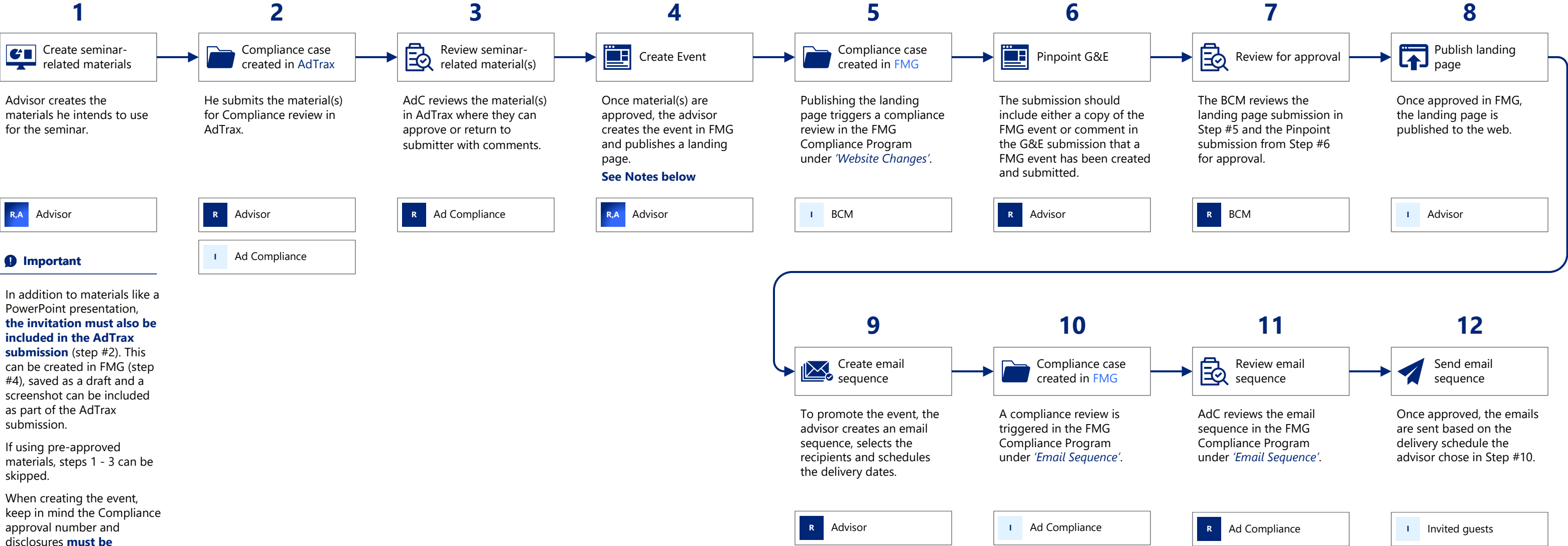


Notes

Step #5: Details can be added by the BCM to the case if needed.

Other Events (Seminars, Webinars, etc.)

Steps 1 – 3 Take Place Outside of FMG



Important

In addition to materials like a PowerPoint presentation, **the invitation must also be included in the AdTrax submission** (step #2). This can be created in FMG (step #4), saved as a draft and a screenshot can be included as part of the AdTrax submission.

If using pre-approved materials, steps 1 - 3 can be skipped.

When creating the event, keep in mind the Compliance approval number and disclosures **must be included** in your FMG event.

- Notes**
- Step #4: Be sure to include your AdTrax reference number in the 'Events Details' field within your event.
 - Step #7: Details can be added by the BCM to the case if needed.
 - Step #9: If your event was created using a platform other than FMG (example: zoom), include your AdTrax reference number when submitting your custom email or email sequence for compliance review in FMG.