

## Best practices for recordings

Recordings refers to any audio or video file including

- podcast
- radio show
- video distributed via e-mail message, your website, social media

## What is the review process for recordings?

Like any other advertising, a recording must be submitted via AdTrax for review by Osaic's Advertising Supervision team. The content is subject to standard content and review procedures.

- Submit your script or talking points before moving forward with production, so if there are any concerns, these can be addressed before recording. The Advertising Supervision team may provide feedback on your script, such as adding necessary disclosures.
- In AdTrax, select *Webinars/Seminars/Public Appearances* as the Format.
- A copy of the final recording must be submitted for review and final approval. Once final approval of the recording is received, you may publish your file to the public.

## What are the video and audio steps?

A copy of the final recording must be submitted via AdTrax for final approval. Please do not submit links as a final version. You must upload an actual file (i.e., MP3, MP4 or MOV) rather than a link for retention purposes.

- If you plan to turn your full-length recording into video shorts, the shorts or episode snippets must be included in your submission. These can be uploaded in the same submission ticket as the full-length file.
- If the file is too large to upload into the AdTrax submission, use the Theta Lake Submission Portal. For first time users of Theta Lake, please [contact Advertising Supervision](#) for assistance with registration.

## Does it matter where the content is hosted?

When materials are approved for public use, where they are published or hosted does matter. Because podcasts are hosted by a podcast provider, a copy of each show must be retained in AdTrax. We cannot review an episode via a third-party compliance dashboard, like FMG or Social Media Dashboard. Similarly, videos and shorts posted to YouTube must also be reviewed via AdTrax, since they also do not get posted via platforms like FMG or Social Media Dashboard.

## **Are firm disclosures required on each recording?**

Firm disclosures are not required for each recording, as presumably they are being distributed via a medium that already includes your disclosures (e-mail message, website, social media profile).

## **Podcast-specific guidance**

Firm disclosures are not required for each episode. Disclosures are generally included within the description section of the podcast homepage, which provides a brief overview and tells visitors what your podcast is about and why they should listen. A copy of your podcast's description must be submitted for review in AdTrax.

- Instead of including disclosures in your podcast's description, you can record the disclosure as part of the intro or outro for each episode, if this is a recurring activity.
- If your podcast is uploaded to your website, YouTube channel, or other social media business page, the firm disclosures already present on those sites suffice for this requirement. You would not need to incorporate disclosures into the podcast description.

## **Important tips**

- If you are a guest on a third party's podcast or video, the podcast must be reviewed in AdTrax before being published to the public. Be sure to properly identify your broker-dealer. If possible, notify the Advertising Supervision team in advance by submitting an AdTrax ticket so we can advise on disclosures and content before recording. This helps avoid the necessity of post-production edits or requiring the video or podcast to be removed from public access.
- As Osaic is required to monitor and archive activity, messaging and comment features must be disabled on the platform hosting the podcast.