

# Red Oak Acquires 4U Platform, Introducing Compliant Connectivity to the Financial Industry

*Acquisition enhances regulatory workflows, accelerates compliance content distribution, and positions Red Oak as the leading Compliance Connectivity Platform*

AUSTIN, TX, UNITED STATES, April 7, 2025 /EINPresswire.com/ -- Red Oak, the leader in



Evolving Red Oak into a true Compliance Connectivity Platform that links internal compliance workflows with the broader distribution ecosystem."

*Dave Dutch*

advertising compliance and marketing review software, announced today its acquisition of 4U Platform, the premier content distribution, engagement and analytics platform for the investment industry. This strategic combination merges Red Oak's industry-leading compliance technology with 4U's seamless connectivity between Investment Companies and Wealth Management firms—establishing Red Oak as the industry's first Compliance Connectivity Platform.

By integrating Red Oak's AI-powered compliance workflow

automation software with 4U's streamlined content distribution network, this enhanced platform removes inefficiencies, eases challenges of regulatory oversight, and significantly reduces time-to-approval for marketing materials. Investment Companies and Wealth Management firms now have a unified, automated ecosystem that ensures content integrity while accelerating delivery of compliant marketing material to financial professionals and investors.

"For too long, compliance and marketing have operated in fragmented workflows, slowing down content approvals and creating unnecessary risks" said Arin Epstein, Co-CEO at 4U.

Denise Wypiszewski, Co-CEO at 4U, continued: "By joining forces with Red Oak, we're delivering a first-of-its-kind solution that streamlines compliance from review to distribution—giving firms greater efficiency, regulatory confidence, and an optimized experience for advisors and their work to support investors."

Red Oak empowers Investment Companies to efficiently manage regulatory approvals while maintaining compliance with internal policies, FINRA, the SEC and Wealth Management firm requirements. 4U's platform eliminates manual tracking and disjointed approval processes, giving financial professionals a centralized, pre-approved content library to engage with clients cohesively.

"By integrating 4U, we are redefining what is available to financial services firms—evolving Red Oak into a true Compliance Connectivity Platform that links internal compliance workflows with

the broader distribution ecosystem" said Dave Dutch, CEO of Red Oak. "We couldn't be more excited about branching out, deepening our roots and expanding what is possible for the customers of Red Oak and 4U."

The combined platform will drive deeper industry collaboration, integrate AI-powered compliance efficiencies, and enable firms to seamlessly connect content, data and distribution solutions benefiting the entire financial services ecosystem.

More details on the integration roadmap and new capabilities will be shared at the annual Red Oak User Conference, April 27-30 in Austin, Texas. Please visit [redoakcompliance.com/user-conference/](https://redoakcompliance.com/user-conference/) to register.

#### About Red Oak

Red Oak is the industry's only Compliance Connectivity Platform, bringing together best-in-class compliance technology and seamless content distribution to streamline regulatory workflows for investment firms and wealth management companies. Serving over 2,300 firms worldwide, from single-state advisors to over half of the top 20 asset managers, Red Oak's suite of 17(a)-4/WORM compliant solutions reduces inefficiencies, mitigates risk, and accelerates time-to-market for financial professionals. For more information, visit [www.redoak.com](https://www.redoak.com) or connect on LinkedIn.

#### About 4U Platform

Launched in 2020, the 4U platform is the leading real-time digital engagement and analytics partnership platform connecting investment companies and wealth managers. 4U provides a many-to-many B2B "common app" that streamlines partner compliance and powers engagement among investment companies, wealth management firms, and their advisors via a secure, user-friendly digital platform. For Investment Companies, 4U provides a single "common app" for all submissions, scaled brand exposure, and available engagement analytics to link marketing spend to AUM growth. For Wealth Managers, 4U serves as a single "source of truth" for reviewers and advisors, provides streamlined, efficient workflows, mitigates enterprise and compliance risk, and improves advisor productivity via 4U Engage, the firm's intuitive content library that provides advisors with efficient access to compliance-approved resources. For more information visit [www.4uplatform.com](https://www.4uplatform.com).

Jamey Heinze

Red Oak

+1 512-423-9793

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