



ANASOVA

# Compliance Discussion

# Assessing Compliance and Regulatory Risk with Anasova

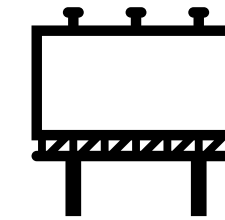
## 3 Categories



**Data**



**Content**



**Advertisements**

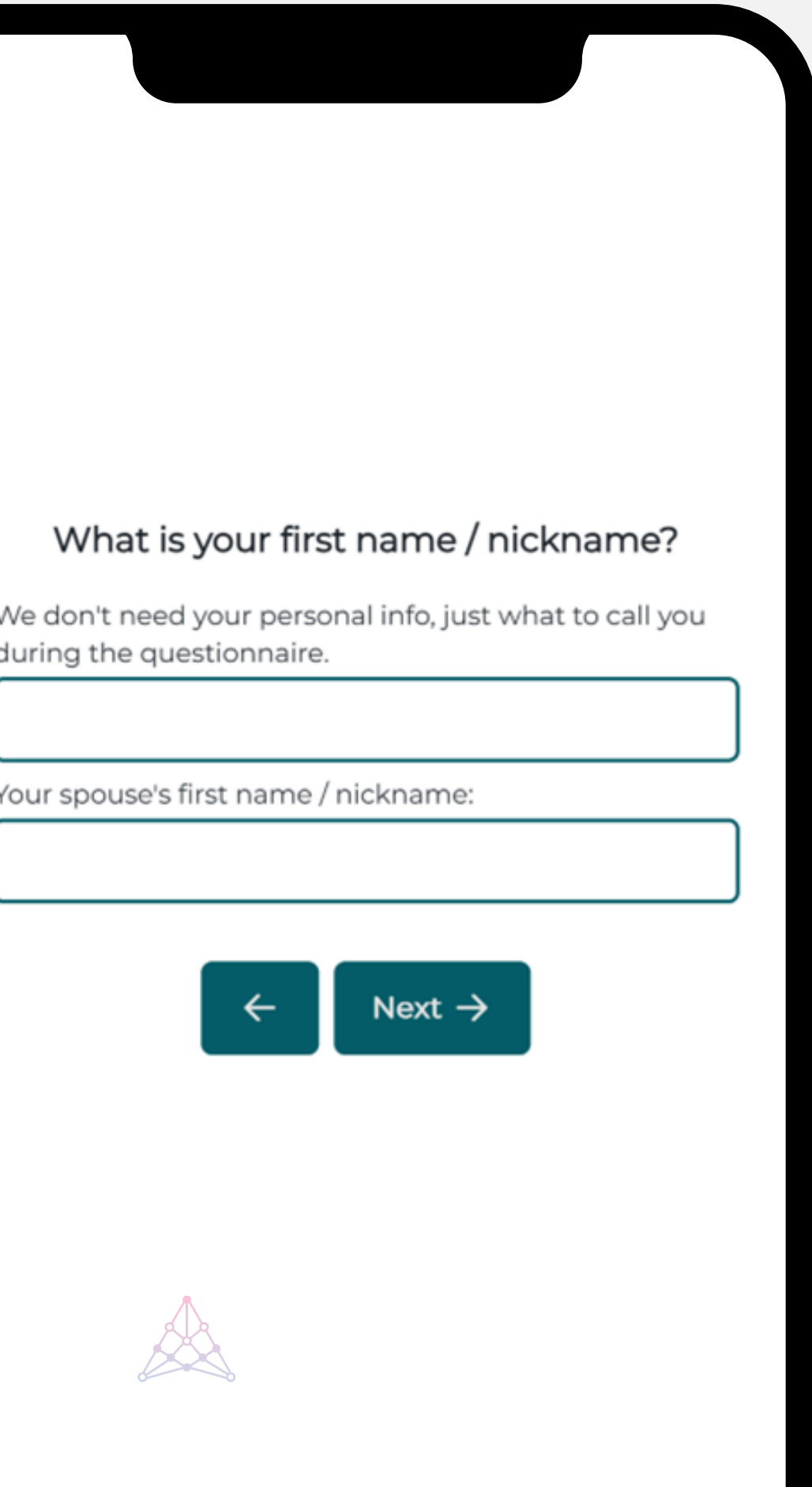


**We do not need personally identifiable, detailed or verified data to create compelling educational material.**

## Data we do NOT collect.

- Full name
- Maiden name
- Mother's maiden name
- Phone number
- Physical Address Home
- Physical Address Work
- Geolocation
- City / County
- Social security numbers
- Drivers License numbers
- Passport numbers
- Taxpayer ID
- Gender
- Date & Place of birth
- Race
- UserID & Password(s)
- Location of assets or liabilities / names of financial institutions
- Account numbers
- Credit card numbers
- Biometric records
- Educational information
- Employment information
- Health information
- Specific financial information
- Links to outside accounts
- Verified information
- Linkable information which could be used to indirectly identify
- No notes or comments for accidental PII



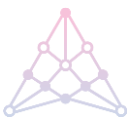


What is your first name / nickname?

We don't need your personal info, just what to call you during the questionnaire.

Your spouse's first name / nickname:

← Next →



# Data We Do Collect

- ★ **What we do collect:**
  - First name (or nickname)
  - Email address (optional)
- ★ **Worse Case Scenario:**
  - Full name + email  
(Maximum 10 characters on name)
- ★ **Risk Assessment:**
  - Cannot use to distinguish individual's identity directly or via linkable information
  - Data unverified: user entered, typically rounded

# Key Question Do you consider email PII?

Our stance: It is not.

However, we have 3  
email options  
depending on your  
view.



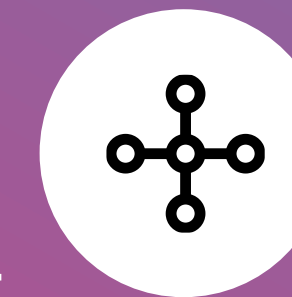
## Include Emails

Allow users to provide emails and you access them



## Allow emails but not access

Allow users to receive a copy of their plan via email but you do receive their email address



## No emails

Only include your call-to-action page and generate leads from user action





## SOC 2

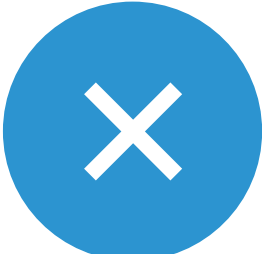
It is generally stated that organizations that need a SOC 2 report include cloud service providers, SaaS providers, and organizations that store customer information in the cloud.



**We do not have customer data. We provide a lead generation tool with no accounts, usernames, passwords or detailed data.**

**We do take privacy and security seriously. See [our privacy policy](#).**

# Potential Content Risks



Risk of error



Bad output or content



Regulatory  
(more details next page)



# Mitigation



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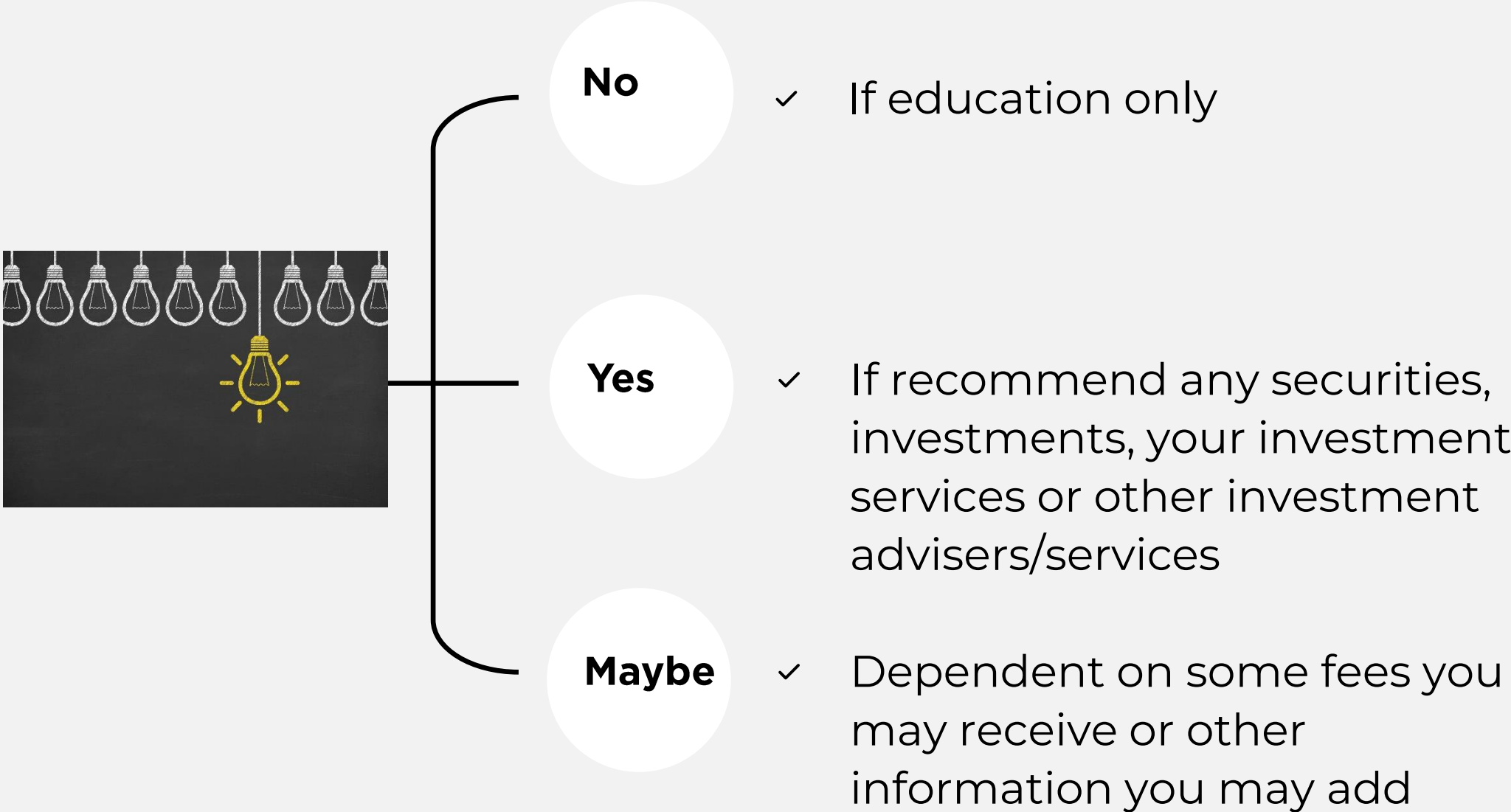
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We do not provide any investment or securities advice. We leave that to our clients.



## Do I need to be registered entity?



**Please see our CEO's letter and Regulatory and Compliance FAQ for more information.**



# Anasova works with you to comply with Books and Records and Recordkeeping Rules

1

## Every Email Sent

We will copy any address of your choice to all emails sent

2

## Every Plan Completed

You will have a copy of every planrun with audit trail of all user interactions

3

## Ongoing Diligence

Continue to partner to ensure meet rules as needs evolve



# Include your profile and calls-to-action to promote your services within the plans

**Risk: Very Low. You control these customizations; you control the risk.**



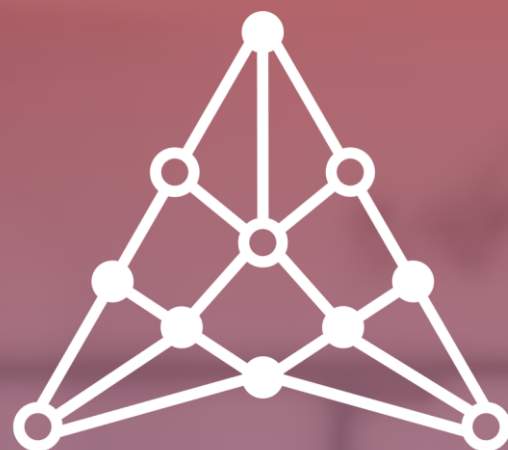
1

Our software and content do not contain any data that should implicate the New Marketing Rule, e.g., 3rd party ratings, endorsements or adviser-related performance data

2

When you add your information, you will need to ensure that it meets the applicable marketing and advertising rules in your industry.

- For example, the New Marketing Rule (namely, that it appropriately discloses any material information)



ANASOVA

Embrace the power of digital financial  
planning.

[anasova.com/compliance](https://anasova.com/compliance)