InfusionOS Compliance & Usage Guide

Practical standards for responsible communication, firm review, and permission-based engagement.

1. Purpose and scope

InfusionOS provides business-development resources and workflows for advisory professionals. This guide explains appropriate use of the platform and materials. It is operational guidance, not legal advice, regulatory clearance, or a substitute for your firm's policies. Requirements may vary by firm, credential, jurisdiction, and communication channel. Follow the stricter applicable requirement and consult your firm's compliance team when uncertain.

2. Firm review comes before external use

InfusionOS-provided content is not automatically approved by an advisor's firm. Before publishing, posting, distributing, linking to, or using materials with business owners or referral sources, obtain all approvals required by your firm.

- Materials subject to review may include LinkedIn posts, social graphics, biographies, promotional language, lead magnets, landing pages, assessment invitations and results, booking-page copy, emails, and other external-facing content.
- Approval must cover the specific material and, where applicable, advisor name, firm branding, disclosures, links, audience, and distribution method.
- If a resource is declined, do not publish or distribute it. Refer the requested modifications to the appropriate reviewer and obtain approval for the revised version before use.
- Do not assume another advisor's approval, or an earlier version's approval, applies to your version. Retain approval records according to your firm's procedures.

3. Editing, branding, and permitted use

Certain InfusionOS marketing assets are centrally controlled to protect consistency and compliance review. Advisors must not alter locked pages, assessments, lead magnets, forms, or other managed assets. Content designated as a customizable template may be adapted only where permitted, and any resulting communication remains subject to firm review. Use your advisor-specific materials in My Digital Assets for external sharing; Advisor Resources contains internal educational materials and tools.

4. LinkedIn Content Library and Social Planner

The LinkedIn Content Library offers sample post text for consideration, not preapproved communications. Review the entire text, relevant links, claims, and intended audience before requesting firm approval. Copying a post from the library does not establish permission to publish it.

- Self-publishing: Follow your firm's approval, recordkeeping, disclosure, and supervision procedures before scheduling or publishing through Social Planner or another channel.

- InfusionOS-assisted publishing: Before an InfusionOS administrator schedules or publishes posts for you, email support@infusionos.com with written confirmation of firm compliance approval that clearly identifies each specific approved post.
- If approved wording changes, or approval cannot be documented, the affected post must not be scheduled or published until compliant authorization is confirmed.
- InfusionOS does not replace the advisor's or firm's supervisory responsibilities and does not independently guarantee that material meets FINRA, SEC, state, or other requirements.

5. Contacts, consent, and nurture permission

InfusionOS is intended for permission-based professional relationship development, not unsolicited bulk-email or mass-outreach campaigns. An imported or manually created contact does not automatically qualify for automated nurturing.

- Before enrolling a contact in nurture communications, verify that you have appropriate permission and that the contemplated messages are allowed by applicable law and firm policy.
- For manually created or imported contacts, Nurture Permission remains No unless the advisor affirmatively changes it to Yes after verifying permission. Do not use Yes as a convenience setting.
- A one-to-one email is not automatically permissible simply because the platform allows it. Use appropriate authorization, relevant identification, and required opt-out or other disclosures where applicable.
- Honor opt-outs, withdrawn permission, suppression requests, and firm restrictions. Do not re-enroll or recontact a person in conflict with those requirements.
- Maintain reasonable records of the permission source, consent context, and any revocation according to firm requirements.

6. Assessments and discovery conversations

The current InfusionOS assessment is the Exit Readiness Assessment. Use its responses to open thoughtful discussions, not to assert a definitive diagnosis, appraisal, transaction outcome, or guaranteed measure of readiness. Assessment observations do not replace professional judgment or appropriate diligence. Handle owner information in accordance with your firm's privacy, retention, and confidentiality requirements.

7. Privacy, access, and responsible workspace conduct

- Access only information needed for legitimate advisory work; protect account credentials and do not share logins.
- Use approved channels for sensitive client or prospect information; avoid placing confidential details into public posts or reusable marketing templates.
- Review contact details, recipients, and attached links before sending communications. Correct or escalate mistakes promptly.
- Follow applicable firm retention policies for communications, assessments, approvals, and business-owner records.

8. Responsibilities at a glance

Responsible party	Primary responsibilities
Advisor	Verify permission; obtain firm approvals; use only authorized materials; review content and recipients; follow firm procedures; document required approvals.
Advisor's firm / compliance function	Determine applicable review, disclosure, supervision, recordkeeping, and permitted-use requirements; approve or reject specific communications.
InfusionOS team	Provide the configured platform and materials; support platform issues and active campaign operations; require written identification of approved posts before IOS-assisted publication. Does not act as the advisor's compliance department.

9. When something is unclear or not approved

- Pause publication, distribution, or automated enrollment when a material approval or contact permission is uncertain.
- Consult your own firm's compliance or supervisory contact for substantive approval and policy questions.
- For platform configuration or active campaign support, email support@infusionos.com. Clearly identify the asset, post number, URL, or campaign involved and describe the requested operational action.
- Do not interpret an InfusionOS support reply as approval from your firm.

10. Pre-publication and nurture checklist

- ☐ Specific content and any advisor-specific edits reviewed by the firm as required
- ☐ Required disclosures, links, and audience restrictions checked
- ☐ Written authorization identifying specific posts supplied for IOS-assisted publishing, if requested
- ☐ Contact permission verified before setting Nurture Permission to Yes
- ☐ Opt-outs and firm restrictions honored; appropriate records retained

Important: This guide is an internal training resource. It does not certify any communication or workflow as compliant, and it does not replace legal counsel or firm-specific supervision.