



# FILING COVER SHEET

Advertising Regulation  
 FINRA  
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 Please contact department if faxing more than 10 pages

FINRA REF. # \_\_\_\_\_

Review Type:  EXPEDITED OR  REGULAR

DATE: \_\_\_\_\_

MEMBER NAME: \_\_\_\_\_ CRD #: \_\_\_\_\_

MAILING ADDRESS: \_\_\_\_\_

CONTACT PERSON: \_\_\_\_\_ PHONE: \_\_\_\_\_ FAX: \_\_\_\_\_

DATE OF FIRST USE (MM/DD/YYYY)

## Communication Information

Descriptive Title of Communication: (Only **ONE** communication per filing cover sheet)  # of Pages  **Preceded or accompanied by a prospectus:**  YES  NO

Firm External Reference #: (Optional)

Please provide a cover letter that describes the proposed use of the communication.

Delivery Methods: (Select **ONE** Delivery Method)

- |  |  |
|--|--|
| <input type="checkbox"/> Acct Statement related communications (ACCTMSSG)    | <input type="checkbox"/> Information released to the press (PRESSREL)        |
| <input type="checkbox"/> Articles & 3 <sup>rd</sup> party reprints (ARTICLE) | <input type="checkbox"/> Print ads, posters & signs (PRINTAD)                |
| <input type="checkbox"/> B/D use & other institutional material (BDUSE)      | <input type="checkbox"/> Radio ads & radio broadcasts (RADIO)                |
| <input type="checkbox"/> Brochures, pamphlets and catalogs (BROCHURE)        | <input type="checkbox"/> Research reports – equity & debt (RESEARCH)         |
| <input type="checkbox"/> Audio/Video tapes, CDs & DVDs (DISC/TPE)            | <input type="checkbox"/> Seminar related communications (SEMINAR)            |
| <input type="checkbox"/> Email, IM, SMS or text messages (ELECTMSSG)         | <input type="checkbox"/> Software output, IA Tools, illustrations (SOFTWARE) |
| <input type="checkbox"/> Fund specific information sheet(s) (FUNDFACT)       | <input type="checkbox"/> Business related stationery (STATIONE)              |
| <input type="checkbox"/> Flyers, wrappers, hand delivered items (HANDOUT)    | <input type="checkbox"/> TV ads & TV broadcasts (TV)                         |
| <input type="checkbox"/> Mailed sales material (MAILING)                     | <input type="checkbox"/> Public Web sites & significant updates (WEBPUBLIC)  |
| <input type="checkbox"/> Periodic & other performance reports (PERFREPT)     | <input type="checkbox"/> Password protected Web sites & updates (WEBPASS)    |
| <input type="checkbox"/> Telemarketing & other phone scripts (PHONE)         |  |

Rule Definitions: (Select **ONE** Rule Definition)

- Retail Communications       Institutional Communications       Correspondence

Update to previously filed template?  Yes  No (Applies to Retail Communications)

If yes, please indicate related reference number:

Correct Format: FR9999-9999-9999 or FX9999-9999-9999

Semi-annual or annual report?  Yes  No (Applies to Performance Reports and Retail Communications)

Products: (Select **ALL** Products applicable to the communication)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> 529 Education Funding Plans | <input type="checkbox"/> Corporate Bonds                    | <input type="checkbox"/> Certificates of Deposit |
| <input type="checkbox"/> Closed-end Mutual Fund      | <input type="checkbox"/> Collateralized Mortgage obligation | <input type="checkbox"/> Day Trading             |
| <input type="checkbox"/> Discount Brokerage          | <input type="checkbox"/> Direct Participation Program       | <input type="checkbox"/> Exchange Traded Fund    |
| <input type="checkbox"/> Fixed Insurance             | <input type="checkbox"/> General Business                   | <input type="checkbox"/> Government Securities   |
| <input type="checkbox"/> Hedge Funds                 | <input type="checkbox"/> Municipal Securities               | <input type="checkbox"/> Open-End Mutual Fund    |
| <input type="checkbox"/> Note Offerings              | <input type="checkbox"/> Options                            | <input type="checkbox"/> Other                   |
| <input type="checkbox"/> Private Placements          | <input type="checkbox"/> Real Estate Investment Trusts      | <input type="checkbox"/> Security Futures        |
| <input type="checkbox"/> Stocks                      | <input type="checkbox"/> Unit Investment Trust              | <input type="checkbox"/> Variable Annuity        |
|  | <input type="checkbox"/> Structured Products                | <input type="checkbox"/> Variable Life Insurance |

Generic Investment Company Communications?  Yes  No (only applies to: Closed-End Mutual Fund, Exchange Traded Fund, Unit Investment Trust, Mutual Funds, Variable Annuity and Variable Life Insurance)

**Information regarding the registered principal who approved the communication:**

Name  Title  CRD ID

Date of Approval (MM/DD/YYYY)  Waiting for Review Prior to Use:  YES  NO

**Total Price:\$\_\_\_\_\_**

**Regular Filing:**

- \$125.00 for the first 10 pages of material
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- \$125.00 for the first 10 minutes of all video and audio tapes
- \$10.00 for each additional minute of all video and audio tapes

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- \$600.00 for all requests for expedited review for the first 10 pages of material
- \$50.00 for each additional page/minute in excess of the first ten pages/minutes

**PLEASE SEND ALL CHECKS TO:**

FINRA  
Advertising Regulation  
P.O. Box 418911  
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**NOTE: DO NOT SEND REVIEW MATERIAL TO THE  
PAYMENT ADDRESS**

**FOR EXPEDITED CONFIRMATIONS**

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