# 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)

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

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

☐ Retail Communications ☐ Institutional Communications ☐ Correspondence

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

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

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

Name [ ] Title [ ] CRD ID [ ]

Date of Approval (MM/DD/YY) [ ] Waiting for Review Prior to Use: ☐ YES ☐ NO

**Rankings Backup Included:** ☐ YES ☐ NO If the communication includes investment company ranking information, please include a copy of the substantiation for the ranking with the submission as required by Rule 2210(c)(2)(A) and (c)(4)A).

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**Total Price:$_____**

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