

RCA – October 1995 – Ask The Analyst – Filing Requirements

Q: When can registered representatives use sales material that has already been reviewed and found consistent by the NASD for another NASD member firm?

A: A registered representative may use the material only after it has been approved by a registered principal of the firm. Of course, the representative's firm need not re-file with the NASD material previously found consistent by the NASD.