



**Summary of FINRA Rules 2210(c) and 2220(c)
Filing Requirements**

Who	What	When	Rule
All new members	Retail communications published or used in any media (generally accessible website, newspaper, magazine, radio, TV, telephone or audio recording, video display, signs or billboards, motion pictures and telephone directories).	10 business days prior to first use for one year beginning on the date FINRA membership becomes effective in the CRD system.	2210(c)(1)(A)
All members	Options retail communications used prior to the delivery of the Options Disclosure Document.	10 calendar days prior to first use; wait for FINRA staff approval.	2220(c)(1)
All members	Registered investment company retail communications that include performance rankings that are not generally published or that are created by the investment company. A copy of the data on which the rankings are based must be included.	10 business days prior to first use/publication; required changes must be made before use/publication.	2210(c)(2)(A)
All members	Security futures retail communications	10 business days prior to first use/publication; required changes must be made before use/publication.	2210(c)(2)(B)
All members	Bond mutual fund volatility ratings retail communications.	10 business days prior to first use/publication; required changes must be made before use.	2210(c)(2)(C)

All members	Registered investment company retail communications. For communications with investment company rankings, the filing must include a copy of the rankings used.	Within 10 business days of first use/publication	2210(c)(3)(A)
All members	Public direct participation program retail communications.	Within 10 business days of first use/publication.	2210(c)(3)(B)
All members	Investment analysis tool retail communications and templates for written reports produced by the tool.	Within 10 business days of first use/publication.	2210(c)(3)(C)
All members	Registered CMO retail communications.	Within 10 business days of first use/publication.	2210(c)(3)(D)
All members	Registered derivative retail communications.	Within 10 business days of first use/publication.	2210(c)(3)(E)
All members	Filmed versions of a TV or video previously-filed as drafts or "story boards."	Within 10 business days of first use or broadcast.	2210(c)(4)