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## ADVERTISING REVIEW SUBMITTAL FORM

This form **MUST** accompany all proposed pieces of advertising submitted for review. Fill out the form completely. To comply with FINRA requirements, keep this form, the approved piece of advertising, and the approval email in your advertising file.

Date \_\_\_\_\_ Phone # \_\_\_\_\_  
Name \_\_\_\_\_ Fax Number \_\_\_\_\_  
Securities Email Address \_\_\_\_\_

### Description of Item

<input type="checkbox"/> Ad	<input type="checkbox"/> Business Card	<input type="checkbox"/> E-Mail
<input type="checkbox"/> Letterhead	<input type="checkbox"/> Sign (Indoor/Outdoor/Both)	<input type="checkbox"/> Fax Cover Sheet
<input type="checkbox"/> Brochure	<input type="checkbox"/> Website	<input type="checkbox"/> Radio/TV
<input type="checkbox"/> Recruiting Letter	<input type="checkbox"/> Seminar	<input type="checkbox"/> Other _____

### Purpose

☐ Recruiting ☐ New Clients ☐ Other \_\_\_\_\_  
☐ Is this a mass mailing? ☐ Is this going to 25 clients or less within 30 days?

Other Explanations:


For Home Office Use Only:
