

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 rd 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 (WEBPUBLC) |
| <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)

Continued

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:

- \$300.00 for the first 10 pages of material
- \$10.00 for each additional page
- \$300.00 for the first 10 minutes of all video and audio tapes
- \$10.00 for each additional minute of all video and audio tapes

Expedited Filing:

- \$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
Boston, MA 02241-8911

(P.O. Box does not accept overnight/courier)

**NOTE: DO NOT SEND REVIEW MATERIAL TO THE
PAYMENT ADDRESS**

FOR EXPEDITED CONFIRMATIONS

(FINRA Use Only)