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| MARKETING & ADVERTSING CHECKLIST  USE OF GENERAL MARKETING MATERIALS | | | |
| NAME OF ADVISOR: |  | **DATE SUBMITTED:** |  |
| TITLE OF PIECE: |  | | |

***All retail communication/marketing requires pre-approval and is sent to Compliance for review; 24–48-hour turnaround time.***

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| **SUBMISSION: (CHECK APPROPRIATE BOX(ES))** | | | | | |
|  | Initial Submission |  | Resubmission  (Date of First Submission): |  | Approval has expired;  requesting renewal |

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| **ADVERTISEMENT DESCRIPTION: (CHECK THE APPROPRIATE BOX(ES))** | | | | | |
|  | Advertisement |  | Form Letter/Email (sent to 10+) |  | Radio Ad |
|  | Social Media Post |  | Group Client Presentation |  | Media |
|  | Newspaper Article |  | Business Card/ Stationary |  | Newsletter |
|  | Biography of IAR |  | Seminar Materials |  | Website Update |
|  | Postcard/Mailer |  | Other: | | |

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| Required: Description of Submission and how it will be used (to include target audience) | | |
|  | | |
| REVIEW | | CCO Comment |
| Past Recommendations | | |
|  | No reference to past investment recommendations. |  |
| Charts & Graphs | | |
|  | Source is listed for all graphs and charts. | |
|  | Does not include graphs or charts that could suggest when to buy or sell securities, or which securities to purchase. |  |
| Accuracy | | |
|  | All figures and factual statements can be substantiated. |  |
|  | Does not contain any material untrue or misleading statements. |  |
|  | Does not include misleading professional designations, titles, or representations. |  |
| Actual or Model Performance | | |
|  | Does not include any actual or model portfolio performance. |  |
| Free services | | |
|  | Does not offer free services. |  |
| Disclosures & Disclaimers | | |
|  | Disclosures and disclaimers have been made with sufficient prominence and detail. | |

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| **PRINT REVIEWER NAME** | **SIGNATURE** | **DATE** |
| This marketing / advertising submittal has been:  Approved  Denied | | |