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| MARKETING & ADVERTSING CHECKLISTUSE 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  |