

This document must be completed and attached for each "Communication Approval Request" form (D045).

Title and Description of the Material : _____

Submitted by: _____ **Date Submitted:** _____

(1) Is this material requires a filing with FINRA? No Subject to Pre-Use Filing Subject to Concurrent with Use Filing

(2) Date Submitted to FINRA: _____ (3) Submission Number: _____ (4) Submitted by: _____

(5) Date Approved by FINRA: _____ (6) FINRA Approval Number: _____

(7) Filing Exemption Pursuant to Rule 2210(c)(7): A B C D E F G H I J K L M N

The following communications are excluded from the filing requirements:

- A Retail communications that previously have been filed with the Department and that are to be used without material change.
- B Retail communications that are based on templates that were previously filed with the Department the changes to which are limited to updates of more recent statistical or other non-narrative information.
- C Retail communications that do not make any financial or investment recommendation or otherwise promote a product or service of the member.
- D Retail communications that do no more than identify a national securities exchange symbol of the member or identify a security for which the member is a registered market maker.
- E Retail communications that do no more than identify the member or offer a specific security at a stated price.
- F Prospectuses, preliminary prospectuses, fund profiles, offering circulars and similar documents that have been filed with the SEC or any state, or that is exempt from such registration, except that an investment company prospectus published pursuant to Securities Act Rule 482 and a free writing prospectus that has been filed with the SEC pursuant to Securities Act Rule 433(d)(1)(ii) will not be considered a prospectus for purposes of this exclusion.
- G Retail communications prepared in accordance with Section 2(a)(10)(b) of the Securities Act, as amended, or any rule thereunder, such as Rule 134, and announcements as a matter of record that a member has participated in a private placement, unless the retail communications are related to publicly offered direct participation programs or securities issued by registered investment companies.
- H Press releases that are made available only to members of the media.
- I Any reprint or excerpt of any article or report issued by a publisher ("reprint"), provided that:
 - i. the publisher is not an affiliate of the member using the reprint or any underwriter or issuer of a security mentioned in the reprint that the member is promoting;
 - ii. neither the member using the reprint nor any underwriter or issuer of a security mentioned in the reprint has commissioned the reprinted article or report; and
 - iii. the member using the reprint has not materially altered its contents except as necessary to make the reprint consistent with applicable regulatory standards or to correct factual errors.
- J Correspondence.
- K Institutional communications.
- L Communications that refer to types of investments solely as part of a listing of products or services offered by the member.
- M Retail communications that are posted on an online interactive electronic forum.
- N Press releases issued by closed-end investment companies that are listed on the New York Stock Exchange (NYSE) pursuant to section 202.06 of the NYSE Listed Company Manual (or any successor provision).

(8) Public Appearance: If approved as or for public appearances, who will be responsible for the surveillance of the public appearances sponsored, conducted or provided by the submitting registered representative? _____

(9) This submission is: Approved and Internal Approval Number: _____ Rejected and Rejected Number: _____

Approved or Rejected by: Name: _____ CRD Number: _____ Date _____