Colorado Financial Service Corporation

COMMUNICATION APPROVAL REQUEST FORM

(Email this form to advertising@coloradofsc.com)

Number of pages (please number all submitted pages):

This form and attachment(s) must be reviewed and approved by the Designated Home Office Principal.

☐ New Request ☐ Changes to Already Approved Material (Approval Number): .....

☐ Final Version of Previously Approved Draft or Story Board (Approval Number): .....

I. SUBMITTING REPRESENTATIVE INFORMATION

1. Submitting RR's Name: .....
2. Submitting RR's Registration Information: ☐S6 ☐S7 ☐S22 ☐S26 ☐S62 ☐S79 ☐Other: .....
3. ☐ Do Not Use any DBA Name OR ☐ DBA Name: .....
4. Submitting Representative's Business Location Type: ☐ OSJ Branch ☐ Non-OSJ Branch ☐ Unregistered Location

II. INFORMATION ABOUT THE MATERIAL SUBMITTED WITH THIS REQUEST

1. Submitting Material Type: ☐ Form Letter ☐ News Letter ☐ Newspaper Column ☐ Cards* (i.e., Thank You Card, Holiday Card)
   ☐ Speech ☐ Content Change of Previously Approved Social Media Site**
   ☐ Initial Request for Website Approval (website address)*** .....
   ☐ *Attached Print-Out of the Proposed Website.*
   ☐ *The proposed website link will be sent to the Home Office via email (advertising@coloradofsc.com).*
   ☐ Previously Approved Website Content Change ☐ Other: .....

** Holiday cards or occasional cards without referencing the firm or the representatives' DBA name are not required pre-approval.*

*** Do Not Use this form if the submission is for initial approval. For initial approval of using Social Media, submit a form #D065.*

**** The website must be restricted from the public view.*

2. Title and Description of the Material: .....
3. Intended Date of First Use: ..... 4. Intended Date of Last Use: .....
5. Source of Material: ☐ Created by the Submitting Representative
   ☐ Third Party Source: .....

III. INTENDED AUDIENCE OR RECIPIENT

1. Recipient Type: ☐ Existing Customers ☐ Prospects ☐ Institutional Customers ☐ Other: .....
2. States are the recipients located in: .....

Institutional Customers *are: 1) a bank, savings and loan association, insurance company or registered investment company; (2) an investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions); 3) any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least $50 million; 4) governmental entity or subdivision thereof; and 5) employee benefit plan, or multiple employee benefit plans offered to employees of the same employer, that meet the requirements of Section 403(b) or Section 457 of the Internal Revenue Code and in the aggregate have at least 100 participants, but does not include any participant of such plans.*

IV. DISTRIBUTION METHOD

☐ Via Phone Call ☐ Via Email ☐ Via Mail ☐ Face to Face Meeting ☐ Seminar
☐ Web Site (address): ..... ☐ Social Network Site (address): .....
☐ Newspaper or Magazine: a. Name: ..... b. Date of Issue: .....
☐ Television or Radio: a. Station: ..... b. Date and Time: .....
☐ Other: .....

V. PUBLIC APPEARANCE (including seminars)

☐ **Check here if planning to use this submitted material more than once.**

Please note that at least 10 business days prior to sponsoring, conducting or providing a seminar, forum, radio or television interview or when engaged in public appearances or speaking activities or seminars, the registered representative must notify (each time if more than once) his or her OSJ Supervisor and the firm's Compliance Department of the date, the time and the location of such engagements.

1. Guest Speaker ..... **OR** ☐ **NONE**
2. Attending OSJ Supervisor: ..... **OR** ☐ **NONE**
3. Sponsor's Information: ..... **OR** ☐ **NONE**
4. Did you attach a copy of invitation and handouts to be send or used? ☐ Yes ☐ No ☐ None

VI. ACKNOWLEDGEMENT

I understand that using the communications material submitted with this form, prior to receiving written approval from the Home Office, is STRICTLY PROHIBITED.

Submitting Representative's Signature ..... Date .....