A picture containing text, clipart

Description automatically generated

# RETAIL COMMUNICATIONS APPROVAL FORM SALES LITERATURE REQUEST

## (Includes Form Letters, Newsletters, Brochures, Invitation, etc.)

**\*\*Attach complete version of the proposed item to be reviewed\*\***

Rep Printed Name: Rep #

Branch Manager Name: Date

Distribution Intent: Letter Email Newsletter Brochure Invitation **Audience: Prospective Clients Existing Clients Both**

\*Will you be sending prospectuses? ­ If so, for what funds?

Date of Proposed first use:

\****NO ITEM CAN BE USED UNTIL YOU HAVE RECEIVED COMPLIANCE DEPARTMENT APPROVAL IN WRITING***

* Standard Disclosure required on all documents:
  + “Securities Offered Through Benchmark Investments, Inc. Member FINRA/SIPC”
  + If you are an IAR, must add “Investment Advisory Services through Kingswood Wealth Advisors, LLC an SEC Registered Investment Adviser”.
  + Your address and phone number
  + Can use your own DBA as long as there is a clear distinction between DBA and Benchmark and add disclosure “Benchmark is not affiliated with (insert your DBA name)”
  + Please note, any material discussing a specific product must be PRE- APPROVED by FINRA. There is a filing fee for this review and may take several weeks to get a response.

APPROVED DISAPPROVED: (changes noted below) Changes required:

Compliance Department Signature Date:

**\*Please note: once approved, you must retain copy of approval and all associated Materials in an “advertising” file in your office for three years from last use.**

# Email completed form to “compliance@kingswoodus.com”