



PUBLIC APPEARANCE REQUEST/SEMINAR/LUNCHEON REQUEST

NOTE: This form must be submitted to advertising@coastal-one.com prior to engaging in a public appearance or arranging for a public presentation, seminar, or luncheon. THIS FORM MUST BE SUBMITTED AT LEAST 4 WEEKS PRIOR TO THE EVENT TO ENSURE TIMELY APPROVAL.

Request submitted by: _____

Name(s) of presenter(s) and affiliation if not the submitter: _____

Date/time/location of presentation: _____

1. Describe intended audience (size, source, type of potential investors)	
2. Will the event target senior investors?	
3. Describe the suitability characteristics of the target audience	
4. Sponsoring organization (if any)	
5. Subject(s) to be discussed (attach outline) including description of securities/types of securities to be discussed	
6. Will visual aids (Powerpoint, videos, other) be used? If YES, provide copies for review.	
7. Will written materials be provided to those who attend? If YES, provide copies for review.	
8. Will the event be advertised? If YES, attach proposed advertising.	
9. Will you discuss new issues, mutual funds, or other securities that are sold by prospectus?	

Provide Invitation list with this submission. Please provide attendance list to the reviewer within three days after the seminar or appearance. **Attestation: By signing below, I attest that should this request be approved, I will ensure that the materials submitted with this request are the only materials used in the presentation. I further attest that I will not alter the approved materials in any fashion without seeking further approval from my supervisor and Compliance, nor will I permit any third-party to present materials, or altered materials, not previously approved by the firm.**

By: _____
Financial Professional or Advisor

FOR REVIEWERS' USE ONLY

Date reviewed:	
Written materials reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Visual aids reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Prospectuses required?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Advertising provided and reviewed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Approved or disapproved?	
Comments:	
Name/title of Reviewer printed	
Signature of Reviewer	
Date	