



Advertising Submission Form

This form should be completed prior to publishing any advertising materials or before a public appearance/presentation and submitted to advertising@coastal-one.com

Review process:

Please complete this submission form in full, along with your proposed advertising or future presentation – this includes websites, stationery, business cards, email blasts, presentations, seminars, etc., including any changes to previously approved materials.

For published print or digital advertising requests, please allow 1 week for review. For presentations or events, this form must be submitted at least 4 weeks prior to the event. If a piece needs to be filed with FINRA, it may require six weeks for approval. Please plan accordingly.

Submitted by: _____ Phone: _____ Date: _____

Division: _____

Date/time/location of presentation or advertising piece being released: _____

Description of item(s) submitted: _____

Source of the information: _____

Who is the intended audience for this piece? _____

Will the advertising materials or presentation target senior investors? Yes No

Manner of distribution (mail, seminar, media, email): _____

For presentations/appearances only:

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

Describe the intended audience (size, source, type of potential investors): _____

Describe the suitability characteristics of the target audience: _____

Sponsoring organization (if any): _____

Topics to be discussed (attach outline) including a description of securities/types of securities to be discussed: _____

-Will visual aids (powerpoint, videos, other) be used? Yes No / If YES, provide copies with this form for review.

-Will written materials be provided to those who attend? Yes No / If YES, provide copies for review.

-Will the event be advertised? Yes No / If YES, attach proposed advertising.

-Will you discuss new issues, mutual funds, or other securities that are sold by prospectus? Yes No

If yes, please provide additional information: _____

Please provide the invitation list with this submission and the attendance list within three days after the seminar or appearance to the advertising department.

By signing below, I attest that should this request be approved, I will ensure the materials submitted with this request are the only materials used in publication or in the presentation. I further attest that I will not alter the approved materials 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.

Signature

*****For internal use only*****
ADVERTISING REVIEW

Date reviewed: _____ Approved Yes No FINRA review required? Yes No N/A

Written materials reviewed: Yes No N/A Visual aids reviewed? Yes No N/A

Prospectus required? Yes No N/A

Advertising provided and reviewed: Yes No N/A

Comments:

Name of reviewer: _____ Title of reviewer: _____

Signature of reviewer

Date: