

# Seminar/Marketing Event Request Approval Form

A SEPARATE FORM MUST BE COMPLETED AND SUBMITTED FOR EACH SEMINAR/EVENT

Date Submitted: \_\_\_\_\_

Request Type: \_\_\_\_\_ New \_\_\_\_\_ Corrected Resubmission

\_\_\_\_\_ Previously Approved Seminar Date previously approved: \_\_\_\_\_

Any changes from previously approved material?  yes  no

*If yes, please specify changes in "comments" section below.*

Representative Name: \_\_\_\_\_ Date of planned first use: \_\_\_\_\_

**Instructions:** Submit this form, along with all sales material proposed to be used during the seminar/lecture/event directly to the compliance department. Materials would include:

- Invitations
- Advertisements (newspapers, flyers)
- Slide Presentations
- Hand-outs, brochures, or other similar items
- Seminar Outlines

*This form and materials must be received by the compliance department a minimum of 20 days prior to the seminar or event date.*

Seminar/Event Title: \_\_\_\_\_

Subject Matter: \_\_\_\_\_

Audience: Existing Clients \_\_\_\_\_ Prospective Clients \_\_\_\_\_ Both \_\_\_\_\_

Estimated number of attendees: \_\_\_\_\_ Event Location: \_\_\_\_\_

List all material attached for review:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Vendor Material Requirement: Attach the NASD review letter for any vendor marketing materials utilized.

Additional Information/Comments

**PLEASE NOTE:** In certain instances, fees may apply if items must be sent to an outside compliance consultant for review. These fees will be disclosed in advance. Additionally, NASD filing fees may apply if information is required to be submitted to the NASD Advertising Department.

-----To be Completed by Firm/Compliance-----

Date Received: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Approval Date/Status: \_\_\_\_\_ Approved As Submitted \_\_\_\_\_ Revision Necessary  
\_\_\_\_\_ Disapproved \_\_\_\_\_ Cancelled

NASD Filing: Yes \_\_\_\_\_ Date Submitted: \_\_\_\_\_ Not Required \_\_\_\_\_