

Communications with the Public - Request for Approval
Submit all material to Advertising@MoneyBlock.com

Please note: After Final Compliance Approval, no changes may be made to the item without resubmitting the item and completing a new request for approval form.

To be completed by the Registered Representative/Investment Adviser Representative

Designation Use (circle) RR IAR Futures

Title of Submission _____

Intended Medium Website Email Seminar
(check all the apply) Print Webcast Public Appearance
 Mailing Banner Ad Other _____

Description _____

Anticipated Date of First Use _____ **Anticipated Date of Last Use** _____

Submitted by: _____ **Date** _____

To be completed by the Compliance Department

Type of Material

☐

Retail Communication*

☐

Institutional Communication*

SRO Submission ☐ FINRA ☐ NFA ☐ Not required

SRO Submission Date _____ **SRO Response Date** _____

Response ☐ Approved ☐ Approved w/ changes ☐ Rejected

Date Approved for First Use _____ **Date Approval Expires** _____

Notes: _____

Final Compliance Approval: _____ **Date** _____

* "Retail Communication" means any written (including electronic) communication that is distributed or made available to more than 25 retail investors within any 30 calendar-day period.

* "Institutional Communication" means any written (including electronic) communication that is distributed or made available *only to institutional investors*, but does not include a member's internal communications. Institutional investor means any:

(A) As described in FINRA Rule 4512(c), an Institutional account shall mean:

(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); or

(3) any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least \$50 million.

(B) governmental entity or subdivision thereof;

(C) 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;