



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”