

# RETAIL COMMUNICATIONS FORM

SELECT IF APPLICABLE:

- TESTIMONIAL     INVESTMENT SEMINAR     CLIENT APPRECIATION EVENT

SUBMIT TO WORK FLOW IN NEXUS

DATE: \_\_\_\_\_

_____	_____
Financial Professional(s) Name	Rep #(s)
_____	_____
Financial Professional(s) Name	Rep #(s)

- MATERIAL TYPE:**  Stationary  Email Signature  Logo/Tag Line  Letter/Email  
 Flyer/Brochure  Newsletter 3<sup>rd</sup> Party  Newsletter by Rep  Article By 3rd Party  
 Article By Rep (list publication/website if applicable) \_\_\_\_\_  
 Script/Outline  Video/Podcast Recording  Print Ad  Radio/TV Ad  Internet Ad  Sponsorship Ad  
 FP Website (URL & Host Company) \_\_\_\_\_  
 Company/Personal Linked-In  Business Face Book  Business Twitter  Business You-Tube  
 Business Instagram

NOTES: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- METHOD OF DELIVERY:**  Mail/Email  Web Posting  Newspaper/Magazine  Social Media  In Person  
 Other \_\_\_\_\_

- FOR USE WITH:**  Clients     Prospects     General Public

Please attach all material and any other items necessary for approval to the Work Flow Ticket

<b>Compliance Review Stamp:</b>
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\_\_\_\_\_  
OSJ Signature (If Applicable)

\_\_\_\_\_  
Print OSJ Name (If Applicable)

Department Email: [advertising-compliance@geneoswealth.com](mailto:advertising-compliance@geneoswealth.com)  
Contacts: Kristin Sesko X105; Steve Shipp X170

**INVESTMENT SEMINAR** (Includes Financial Info)     **CLIENT APPRECIATION EVENT**

**NAME & SUBJECT:** \_\_\_\_\_

**DATE(S):** \_\_\_\_\_      **CITY, ST:** \_\_\_\_\_

**Intended Audience:**  Clients    Prospects    Professional (CPAs, Attorneys)    401k Enrollment/Education

**Purpose of Event:**  Client Education    Investment Product Presentation    Prospecting    Social Event  
 Webinar    Zoom Meeting   Will Webinar/Zoom Meeting Be Recorded?    Yes    No

**Invitation:**    Written    Email    Verbal    Mailing List (must be attached)

Using a 3<sup>rd</sup> Party Prospect Mailing List through outside vendor (vendor controls mailing list)

Vendor Name \_\_\_\_\_

N/A - Guest Speaker at Outside Organization (Rotary; Community Group; High School) No access to list

**Presentation Materials -**  PowerPoint slides    Scripts    Workbooks    Videos

If Presentation materials are NOT being used – ***Must Attach Outline of Topic Speaking Points or Discussion***

Outside Guest Speaker presentation\*                       FINRA Review Letter (if applicable)

\_\_\_\_\_  
\*Name and Company of any guest speaker participating (i.e. Attorney, CPA, Product Wholesaler etc.)

Handouts (evaluation sheets, worksheets, company literature, marketing kits & prospectuses)    N/A

Giveaways: Description & Value: \_\_\_\_\_    N/A

**INVESTMENT SEMINAR/EVENT NOTES** \_\_\_\_\_

Sponsor of Event: \_\_\_\_\_ Marketing Reimbursement Support?  Yes    No

Sponsor of Event: \_\_\_\_\_ Marketing Reimbursement Support?  Yes    No

Sponsor of Event: \_\_\_\_\_ Marketing Reimbursement Support?  Yes    No

Are attendees required to pay fees for event?    Yes    No   List details: \_\_\_\_\_

**Please attach all material and any other items necessary for approval to the Work Flow Ticket**

**Compliance Review Stamp:**

\_\_\_\_\_  
OSJ Signature (If Applicable)

\_\_\_\_\_  
Print OSJ Name (If Applicable)

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## ADVERTISING - RETAIL COMMUNICATIONS CHECKLIST

This is a checklist designed to assist you in gathering the documents that are required in connection with **Retail Communications, Testimonial Agreement, Testimonial Placement, Investment Seminars, and Client Appreciation Events.**

- Retail Communications sent to 25 or more contacts at one time or over a consecutive 30-day time period is considered to be advertising and sales literature. A contact is considered a client and/or prospect. **Letter, email, newsletter, and invitation submissions require a mailing list when submitted for review.**
- All advertising and sales literature must be submitted via the Work Flow system in Nexus. All materials should be attached to the Work Flow ticket for review.
- Written Testimonials by a client must be pre-approved before use. Testimonial placement and use must be submitted separately after the actual testimonial is approved.
- Attendee Lists for Investment Seminars & Client Appreciation Events should be added to the Laserfiche file after the event. The list does not need to be submitted to Work Flow.

In addition to this Retail Communications Form additional documents should be included depending upon the request:

- Retail Communications
  - Copy of any printed or electronic materials – (See Material Type section on Submission Form)
  - Mailing Lists for form letters, emails, newsletters, if applicable
- Testimonials
  - Include approved Testimonial Agreement
- Investment Seminar (includes any topic on investments or financial planning)
  - Complete appropriate section on page 2 of RCF
  - Invitation & Mailing List
  - Presentation materials – slides, notes, scripts
  - Handouts – workbooks, data sheets, product info
  - Complete Sponsor / Marketing Reimbursement section
  - Attendee list added to Laserfiche after event; not submitted to work flow
- Client Appreciation Event (No investment or financial planning presentations)
  - Complete appropriate section on page 2 of RCF
  - Invitation & Mailing List
  - Presentation materials – slides, notes, scripts
  - Handouts – workbooks, data sheets, product info
  - Complete Sponsor / Marketing Reimbursement section
  - Attendee list added to Laserfiche after event; not submitted to work flow

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