COMMUNICATION WITH THE PUBLIC
COMPLIANCE APPROVAL

Rep Name: _____ Date Received: _____
Rep Number: _____ Date Approved For Use: _____
Rep Fax Number: _____ Date of Last Use: _____

Type of Material**:** [Letterhead] [Form Letter] [Seminar Invites] [Public Appearance] [Reprints] [Literature] [Correspondence] [Business Cards] [Newsletter] [Other: _____] [Advertising]

INSERT DESCRIPTION

_____

For use with: ____ Clients ____ General Public
Please describe, in the space below, how you intend to use this communication: _____

_____

_____

_____

_____ _____
Representative Signature Date

(For Home Office Use)

KCD has reviewed the material you submitted for approval with the following results:
____ Approval is indicated below.
____ FINRA review letter provided.
____ Please note the revisions incorporated below and/or provided via email to rep.

COMMENTS / REVISIONS REQUIRED AS FOLLOWS:

____ For use on your previously approved KCD Financial, Inc. letterhead
____ Include firm name, registered branch address, phone number, and disclosure language

_____ APPROVED
_____ NOT APPROVED (**PLEASE REVISE AND RESUBMIT**)

FINRA Approval Attached (if applicable).

Copies of this Approval Form must be retained in your advertising files at your branch office along with copies of the advertising approved and any supporting documents (mail lists, etc.).

Principal Approval: Date:

Revised: 7/2019