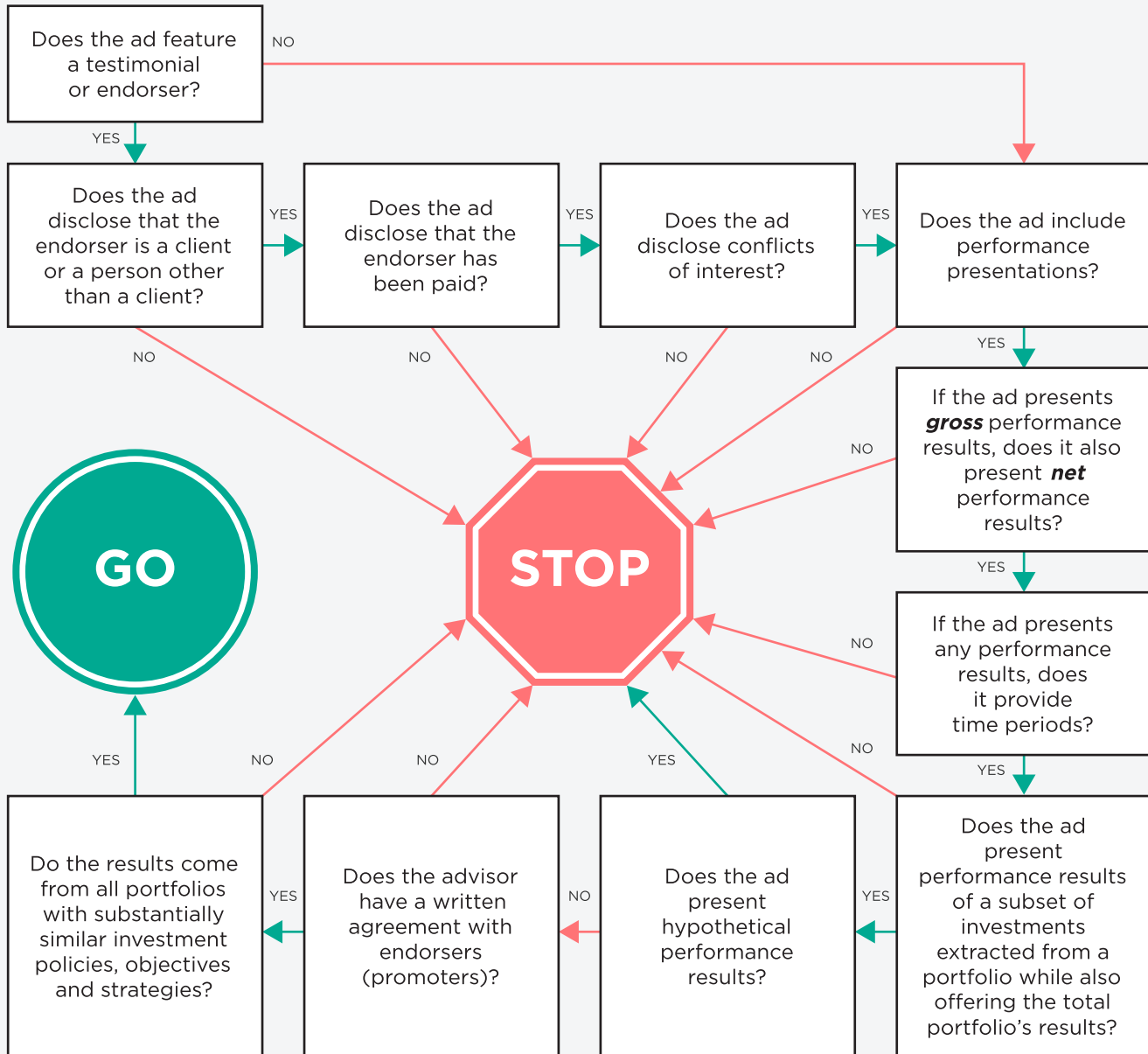


DOES YOUR AD COMPLY WITH THE SEC'S NEW MARKETING RULES FOR TESTIMONIALS AND ENDORSEMENTS?

It's a new dawn for financial advisor marketing. For the first time in 60 years, the SEC is overhauling advertising rules that will allow advisors to use endorsements and testimonials in online marketing. The revised regulations—which for the first time allow advisors to use testimonials (from clients) and endorsements (from nonclients)—will be instrumental for advisors hoping to attract younger clients. The rules are complex. This flowchart will help advisors keep ads in compliance.

START



SOURCE: SECURITIES AND EXCHANGE COMMISSION