

MARKETING & ADVERTISING CHECKLIST

A GUIDE TO SEC, FINRA, GIPS, CFTC, AND NFA RULES AND REQUIREMENTS

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In the United States, the marketing practices of investment advisers and broker-dealers may be governed by different—and sometimes conflicting—rules and requirements, including Rule 206(4)-1 under the Advisers Act (Marketing Rule), Financial Industry Regulatory Authority (FINRA) rules and guidance, the Global Investment Performance Standards (GIPS®), and Commodity Futures Trading Commission (CFTC) and National Futures Association (NFA) obligations.

To help firms navigate the challenges in addressing these varying requirements, we have developed a comprehensive Marketing & Advertising Checklist. Receive your complimentary copy of the Checklist by completing this [request form](#).

We hope you find the Checklist useful and valuable. Please contact us with any questions or if we may be of assistance.

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