

Advertising/Sales Literature

Advertising/Sales Literature is any material that is to be presented to or sent to **more than one** client or prospect. Literature that is handed to a client or prospect is *not* Advertising.

Advertising Compliance Checklist:

- Verify your advertisement contains the following:
 - 1) Your name
 - 2) Registered address of branch or satellite office
 - 3) Registered telephone number of branch or satellite office
 - 4) Broker-dealer disclosure (refer to the Disclosure Guidelines for your licensing)
- Create Advertising Transmittal Form (AIGFA Home Office Website, Forms & Guides, Forms, Compliance Forms, Advertising Transmittal)
- Submit all advertising materials along with Ad Transmittal to OSJ Manager for approval (all advertising **REQUIRES** an OSJ signature)
- Once approved by the OSJ, send to Salem office (via fax 503.566.7446 or email hr@wfgadvisors.com) for submittal to AIG Ad Compliance and tracking
- Allow 5-10 business days for response
- Provide a list of recipients (or attendees) to the Salem Office. The list should include your name and the approved Ad Log # for proper filing.

Any advertising materials need to be submitted to the Salem Corporate Office for submittal to AIGFA Advertising Compliance Department. All advertising needs to be submitted via the Ad Transmittal form and forwarded to your OSJ Manager for approval. Upon signature, the submittal should be forwarded to the Salem office. * *Please note that even if you intend to submit the materials electronically, you are **REQUIRED** to obtain an OSJ signature (this is contrary to directions stated on the Advertising Transmittal Form).*

Advertising/Sales Literature includes, but is not limited to:

- ✓ Marketing Materials from sponsor companies
- ✓ Form letters sent to clients (Appt reminders, Thank you letters...)
- ✓ Mass Mailing campaigns
- ✓ Letterhead, Business Cards & Envelopes

The Salem office will submit and track the progress of your submittal. If you have not received a response in a reasonable amount of time, contact the Salem office by phone or email to hr@wfgadvisors.com. When a response is received, all pieces will be scanned and filed. Ad approvals will be forwarded via email from the Corporate Office.

Please Note that each approved piece is approved for use for a period of 24 months from date of approval. An Ad Transmittal must be resubmitted prior to that 24 month anniversary for continued use.

One Ad for Multiple Associates

If an advertisement is produced and benefits more than one associate, each associate must submit the same ad for approval individually. Ad Compliance looks for the content of the ad with relationship to the licensing of the associate. Approval for one associate does not immediately mean approval for all.

Seminars

Anytime you speak in public to more than two individuals...it's considered a SEMINAR.

SEMINAR PRESENTATION:

Please submit for approval, all seminar materials (including presentation and handouts), as well as an Advertising Transmittal Form to your immediate OSJ. See Advertising Compliance Checklist.

Seminar Materials

All materials used for the seminar need to be submitted PRIOR TO THE SEMINAR, at the same time to AIGFA Advertising Compliance Department for review. This includes but is not limited to:

- ✓ Fliers
- ✓ Press releases
- ✓ Presentation outlines
- ✓ Script
- ✓ Power Point presentation copies
- ✓ Printed material - that you created
- ✓ Printed material - supplied by a vendor *(these must include a FINRA letter)*

If you are conducting a seminar with another associate: each of you are required to submit all of the materials independently, the presentation outline needs to clearly identify who will be speaking about each topic and each associate must maintain a seminar file.

When materials are approved you do not need to re-approve them for subsequent 24 months if there are no material changes.

SEMINAR INVITATION:

The Seminar Invitation should be submitted separately from the presentation & materials. Please be sure to include the approved Ad Log # for the corresponding seminar on the transmittal. All invitations need to include:

- Registered address of the branch or satellite branch office
- Registered telephone number of the branch or satellite office
- Broker-dealer disclosure
- Clear description of which entity offers which service, if multiple entities named
- Content of the invitation must match the seminar

At completion of the seminar, please submit a list of attendees to the Salem office for filing. To ensure proper filing, please include your name, the name of the seminar, the Ad Log # and the date of the seminar. A seminar file is maintained via optical storage for each uniquely named seminar that you do and includes all materials for that seminar.

* If you hold a series 7 & 65 or 66 and are licensed through IAR, any seminar you present is considered Investment Advisory Activities and a copy of our ADV must be with the handout(s), or if there are no handouts, it must be made available.

* If you are not licensed as an IAR, you are only allowed to discuss products that you are allowed to sell as it relates to your FINRA licensing.

Willamette Financial Group LLC

Disclosure Guidelines

Series 24 & Corp IA

"Rep Name*" is a Registered Principal offering Securities and Investment Advisory Services through AIG Financial Advisors, Inc., a registered broker-dealer and SEC registered investment adviser, member FINRA/SIPC.

Series 7 & Corp IA

"Rep Name*" is an Investment Representative offering Securities and Investment Advisory Services through AIG Financial Advisors, Inc., a registered broker-dealer and SEC registered investment adviser, member FINRA/SIPC.

Series 7

"Rep Name*" is a Registered Representative offering Securities through AIG Financial Advisors, Inc., a registered broker-dealer, member FINRA/SIPC.

Series 6

"Rep Name*" is a Registered Representative offering Securities through AIG Financial Advisors, Inc., a registered broker-dealer, member FINRA/SIPC.

Registered Assistant

"Rep Name*" is a Registered Assistant with AIG Financial Advisors, Inc., a registered broker-dealer, member FINRA/SIPC.