

MARKETING AND ADVERTISING CHECKLIST

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

Date: 10 September 2024

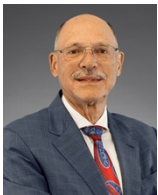
By: Michael S. Caccese, Pamela A. Grossetti

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.

KEY CONTACTS



MICHAEL S. CACCESE
CO-CHAIR

BOSTON, PITTSBURGH
+1.617.261.3133
MICHAEL.CACCESE@KLGATES.COM



PAMELA A. GROSSETTI
PARTNER

BOSTON
+1.617.951.9194
PAMELA.GROSSETTI@KLGATES.COM