



## **Business Card & Stationery Guide**

When ordering business cards and stationery there are requirements you must follow. Whether you use the Firms branding or use your own company branding (Doing Business As...).

You have the option of using Vista Corporate Solutions to take advantage of negotiated print discounts for your business cards and letterhead or you may choose your own print company.

In addition to the Firm disclosure, the following are required to be included on your business cards and letterhead.

### **Broker-Dealer Name**

The Broker-Dealer name must be clearly and prominently disclosed in bold on all stationery items (with the exception of envelopes if an Operating Business As (OBA) or marketing name is used). If the stationery item is promoting an approved outside business activity, the Firm disclosure must be present. Business card disclosure font size may not be below 8 pts. Letterhead disclosure font size may not be below 10 pts.

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### **Registered Branch Information**

A registered branch address and telephone number must be present on business cards and letterhead. Envelopes only need to contain the registered branch address. This address should match the address of record on file with the Home Office.

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### **Email Address**

Only email addresses that are registered with the Firm may be used on stationery items.

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### **Website Address**

Securities-related websites must first be approved by the Advertising Supervision department before being listed on stationery items.

If the website's content is solely non-securities related (i.e., websites that strictly promote an OBA such as a lending business or a tax preparation service, etc.), then the Advertising Supervision Department does not need to approve the content, and the website may be listed on the stationery.

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### **Professional Designations**

Only designations that are on the Firm's approved professional designation list may be present on stationery items. Visit your Advisor Portal for additional information and a list of current approved professional designations.

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### **Titles**

Titles used must accurately reflect how a financial professional is associated with the Firm and outside business activity, if applicable. For example, the title of "*Investment Advisor Representative*" would be incorrect for an individual who is not associated with the corporate or an independent *Registered Investment Advisor*. Please see the Communications chapter of the Firm's Compliance Manual for further information concerning the use of titles.

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### Insurance Licenses (CA or MN only)

In CA or MN, the state requires that the financial professionals prominently display their insurance license number on their business card in the following format:

CA Insurance Lic. 123456789

MN Insurance Lic. 123456789

Note: The word “insurance” may not be abbreviated

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### Financial Professionals Located in a Bank or Credit Union

When conducting business on the premises of a financial institution such as a bank or credit union, the following disclosures must be present on stationery items (excluding envelopes):

#### Bank:

(Bank Name) is not affiliated with (Broker-Dealer Name)

Securities are:

- Not FDIC Insured
- No Bank Guarantee
- May Lose Value

#### Credit Union:

(Credit Union) is not affiliated with (Broker-Dealer Name)

Securities are:

- Not NCUA Insured
  - No Credit Union Guarantee
  - May Lose Value
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### Outside Business Activities and Marketing Names

Any activity being promoted on a stationery item that is not a product or service of the associated Firm must be disclosed on the form U4 and/or ADV, and the Firm’s Outside Business Activities.

The use of titles that are solely reserved for the broker-dealer or Registered Investment Advisor must be placed within close proximity to the name of the respective broker-dealer or Registered Investment Advisor.

#### CORRECT

Registered Representative  
Broker-Dealer Name

Managing Partner  
DBA Name

#### INCORRECT

Vice President Global Investments  
Broker-Dealer Name

Registered Principal  
DBA Name

Further, if products or services are listed, there must be no confusion as to which products or services are offered through the Firm and which are offered through the “dba” entity. See the following examples:





*Note: Assume that Winterhaven Financial Services only offers fixed insurance products.*

## **CORRECT**

This version places products/services of the OBA entity in close proximity to the OBA name so there is no confusion that the insurance references are offered through Winterhaven Financial Services and not through the Firm.

### **Winterhaven Financial Services**

*Focusing on Your Insurance Needs Since 1982*

*Long Term Care*

*Life Insurance*

*Property and Casualty*

*John Smith, Managing Partner*

*12345 Central Avenue*

*Phoenix, AZ 85004*

*602-133-4567, email [js@wfs.net](mailto:js@wfs.net)*

"Securities and investment advisory services offered through (b/d name) ((b/d abbreviation)), member FINRA/SIPC. (b/d abbreviation) is separately owned and other entities and/or marketing names, products or services referenced here are independent of (b/d abbreviation)."

## **INCORRECT**

Although the Firm disclosure is present, the list of services is both related to the OBA and to the Firm. Listing all of the together under the OBA name gives the impression that these services are all offered through the OBA entity.

### **Winterhaven Financial Services**

*Your Source for Stock Market Guidance Since 1982*

*Fee Based Portfolio Management*

*Insurance*

*Stocks and Bonds*

*Mutual Funds and Variable Annuities*

*John Smith, Managing Partner*

*12345 Central Avenue*

*Phoenix, AZ 85004*

*602-133-4567, email [js@wfs.net](mailto:js@wfs.net)*

Securities offered through (b/d name), member FINRA/SIPC.

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## **Newly Associated Financial Professionals**

No stationery items may be approved or distributed until a financial professional registers and is approved with the firm. Stationery items may be prepared prior to affiliation such as setting up templates for how the materials will look.

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**Approval and Record Keeping Requirements**

The Firm requires that each stationery item that is approved be signed or initialed by the OSJ/MBO Manager or their respective designee with the date of the approval indicated on a sample copy of the stationery item. The approval for each item reviewed and approved must be maintained within the branch advertising file. The Firm will reserve the right to periodically review and inspect the advertising files to ensure compliance with all applicable policies as they relate to the review and approval of stationery items. Stationery approval is active until the next print job.