

## ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

October 6, 2025

Jessica Chang CAPITAL CLIENT GROUP, INC.

Reference: **FX2025-1001-0169/E** Org Id: 6247

Link Reference: FR2022-0531-0168

1. Single Sheet - Retirement plan services - Establishing contact with prospective retirement plan clients - Open the door to new retirement plan business

Rule: FIN 2210

2 Pages Total Fee: \$600

Dear Jessica Chang,

The communication submitted appears consistent with applicable standards.

Reviewed by,

Caitlin M. Kirby Senior Analyst

Please send any communications related to filing reviews to this Department through the Advertising Regulation Electronic Filing (AREF) system or by facsimile or hard copy mail service. We request that you do not send documents or other communications via email.

**NOTE:** We assume that your filed communication doesn't omit or misstate any fact, nor does it offer an opinion without reasonable basis. While you may say that the communication was "reviewed by FINRA" or "FINRA reviewed," you may not say that we approved it.