

## Rebrand: Business Card, Stationery, & Disclosure Guide

Financial Professionals associated with Grove Point may market or promote Grove Point approved securities products or services provided their standard business materials are approved by Advertising Compliance and contain the appropriate disclosure. This Guide provides an overview of the requirements as well as samples for your business cards, stationery and disclosures. The firm’s detailed requirements for communications with the public can be found in the Registered Representative Compliance Manual.

Business cards, letterhead, fax cover sheets, and email templates are considered retail communications under the FINRA Rule 2210 and must be submitted to Advertising Compliance prior to first use using the firm’s online compliance system, AdTrax. For instructions on how to submit materials through AdTrax, please refer to the AdTrax Submittal Guide posted on the firm’s website. It is important to note that the standard Broker Dealer identification disclosure language approved by Advertising Compliance is required on all your communications with the public, including your website, social media, and other marketing materials.

### Financial Professional Titles & Designations

#### Financial Professional Titles

When marketing to investors Financial Professionals must take caution and ensure that their professional designation or title does not convey inaccurate or exaggerated claims about their expertise. For example, FINRA Rule 2210 prohibits Financial Professionals from referencing a nonexistent or self-conferred degree or credentials or referencing legitimate degree or credential in a misleading manner. Additionally, many state securities regulators do not allow Financial Professionals to use a designation pertaining to “seniors” unless it has been accredited by either the American National Standards Institute or the National Commission for Certifying Agencies. In line with regulators, the firm prohibits Financial Professionals from using any title that implies “senior” expertise or referring to themselves as an expert in senior financial planning. Advertising Compliance must review and approve any type of title used in your communications with the public. Below is a listing of when certain titles may or may not be permitted.

#### Registered Representative or Investment Adviser Representative

Use of the title Registered Representative or Investment Adviser Representative alongside your DBA must not give the impression that the DBA is providing the investment services but is permitted to be used if you do not have a DBA or disclose the firm association.

Examples When Permitted	Examples When Prohibited
<ul style="list-style-type: none"> <li>✓ John Smith Registered Representative</li> <li>✓ John Smith Investment Adviser Representative</li> <li>✓ Smith Investment Services John Smith Registered Representative of Grove Point Investments, LLC</li> <li>✓ Smith Investment Services John Smith Investment Adviser Representative of Grove Point Advisors, LLC</li> </ul>	<ul style="list-style-type: none"> <li>✗ Smith Investment Services John Smith Registered Representative</li> <li>✗ Smith Investment Services John Smith Investment Adviser Representative</li> </ul>



# GROVE POINT FINANCIAL

## Financial Planner, Wealth Manager, Adviser, Advisor, Financial Adviser, Financial Advisor

Use of the titles Financial Planner, Wealth Manager, Adviser, Advisor, Financial Adviser, Financial Advisor are permitted to be used by Financial Professionals who are registered as Investment Adviser Representatives. Financial Professionals who are not registered with Grove Point as an Investment Adviser Representative may not use these terms.

### Registered Principal

Use of the title Registered Principal is only permitted if you are designated to act as a Registered Principal of Grove Point.

### Financial Professional Designations

The firm requires Advertising Compliance to review and approve prior to use any type of professional designation used in communications with the public. Ad Compliance requires proof that you have earned the degree or designation and that the designation is in good standing. Prior to use, Financial Professionals must check with the issuing organization to ensure proper usage as each issuing organization has its own rules and guidelines.

Keep in mind that improper use or misuse of trademark can compromise the integrity and distinctiveness of the mark, which can be grounds for the issuing organization to revoke your privilege of using their mark. You can find a list of approved professional designations on the firm's website under the Compliance tab.

Approved professional designations must be placed adjacent to your name. You are permitted to use either the abbreviated letter marks or word marks for the approved professional designation after his or her name. For example: "Rep Name, CFP®", or "Rep Name, Certified Financial Planner™". Financial Professionals are prohibited from placing professional designation's directly under their name as part of a title. The reason for this policy is that the designation may appear to be a "title" for a role within the Representative's firm, which is considered to be misleading communication and often a violation of the issuing organization's terms and conditions.

### Standard Disclosures

Below you will find the Firm's standardized disclosures for use on your marketing material. Required disclosures may vary by your registration, your business model, and the type of material it will be placed on.

As you read forward to locate your required disclosure please keep the following in mind:

- If you do not use a DBA, the sentence "[DBA] is not affiliated with Grove Point Financial, LLC or its subsidiaries." must be removed
- If you maintain an Outside RIA, you must add, "[ORIA] is not affiliated with Grove Point Financial, LLC or its subsidiaries." and "Investment Advisory Services offered through [ORIA]."
- If your disclosure will be placed on an electronic medium the FINRA and SIPC terms must be hyperlinked to their respective sites.
- If you hold insurance licenses in Arkansas or California, you must include your insurance license number in your disclosure.
- All disclosures must be in a minimum of 8-point font.

If you are unsure of the proper disclosure to use or have a business model different than the examples outlined below, please contact your designated Advertising Reviewer or email

[AdCompliance@GrovePointFinancial.com](mailto:AdCompliance@GrovePointFinancial.com).



# GROVE POINT

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Business Cards, Letterheads and Fax Cover Sheets

## BD Only Registered – Business Card

Securities offered through Grove Point Investments, LLC, member [FINRA/SIPC](#). [DBA] and Grove Point Investments, LLC are not affiliated.

[View Form CRS](#)



## Sample Business Card Layout for a BD and IAR Registered Financial Professional

### Front

Your Name, [Professional Designation – optional]  
Title (optional)  
Your Address  
Your Phone #  
Your Fax (optional)  
Your Email (optional)

### Back

Securities offered through Grove Point Investments, LLC, member FINRA/SIPC. Investment Advisory Services offered through Grove Point Advisors, LLC, Grove Point Investments, LLC & Grove Point Advisors, LLC are subsidiaries of Grove Point Financial, LLC [DBA] is not affiliated with Grove Point Financial, LLC or its subsidiaries.

[View Form CRS](#)





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## Websites

### **BD Only Registered – Website**

Securities offered through Grove Point Investments, LLC, member [FINRA/SIPC](#). [DBA] and Grove Point Investments, LLC are not affiliated. Financial Professionals may only discuss or transact business with residents of state(s) and jurisdiction(s) in which they are properly registered or licensed. [Click here to view Form CRS.](#)

## Social Media and General Marketing Material Use

### **BD Only Registered – Social Media**

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[WWW.GROVEPOINTFINANCIAL.COM](http://WWW.GROVEPOINTFINANCIAL.COM)

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