

ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

October 23, 2019

Ms. Cindy Lam-Yee
Ascensus Broker Dealer Services, Inc.
95 Wells Avenue, Suite 160
Newton MA 02459

Reference: **FX2019-1022-0368/E**

Org Id: 36478

1. 10 tips for smarter Distributions - INA (#181900_ES_INA_1119)
Rule: MSRB
2 Pages

Total Fee: \$600

Dear Ms. Lam-Yee,

The communication submitted appears consistent with applicable standards.

Reviewed by,

Bradley G. Raymond
Associate Principal Analyst

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This year's Advertising Regulation Conference will be held on October 24-25 in Washington, D.C. For more information and to register, please access the conference webpage at www.finra.org/2019adreg.

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.