



## ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

January 29, 2026

Jessica Chang  
CAPITAL CLIENT GROUP, INC.

Reference: **FR2026-0102-0234/E**  
Link Reference : FR2026-0107-0002, FR2022-0722-0014

Org Id: 6247

1. Single Sheet - Notice delivery: RecordkeeperDirect plans - Simplify your retirement plan notice process

Rule: FIN 2210

2 Pages

Total Fee: \$300

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.*