



ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

September 17, 2026

Jessica Chang
CAPITAL CLIENT GROUP, INC.

Reference: **FR2026-0810-0002/E**
Link Reference : FR2025-0611-0010

Org Id: 6247

1. Single Sheet - RecordkeeperDirect and PlanPremier-TPA features - Find the solution that fits your plan (TPA)
Rules: FIN 2210, SEC 482
2 Pages

Total Fee: \$300

Dear Jessica Chang,

The communication submitted appears consistent with applicable standards.

Reviewed by,

Sedinam A. Norvor
Senior Analyst

This year's Advertising Regulation Conference will be held October 15-16 in Washington, D.C. For more information and to register, please visit our website at: <https://www.finra.org/events-training/conferences-events/2026-finra-advertising-regulation-conference>

NOTE: Our review is limited to the communication as submitted and does not extend to any hyperlinks, QR codes or references to other content. In our review, we assume that all statements, claims, and representations in the communication are accurate and can be substantiated.



You may state that the communication was "reviewed by FINRA" or "FINRA reviewed," but you may not state that it was FINRA approved.