



ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

May 5, 2026

Jessica Chang
CAPITAL CLIENT GROUP, INC.

Reference: **FR2026-0414-0360/E**
Link Reference : FR2026-0414-0361

Org Id: 6247

1. Brochure - Selling or exiting a business - Preparing your business for sale and yourself for what comes next
Rule: FIN 2210
12 Pages

Total Fee: \$320

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>

Please be advised that the Advertising Regulation Electronic Filing (AREF) application is being modernized as part of FINRA Forward. The transition to the updated platform is anticipated in mid-May 2026. Resources to assist your firm with the transition, including FAQs and a navigation guide, will be made available on [Advertising Regulation's FINRA.org](https://www.finra.org/advertising-regulation) in advance of go-live. No action is required at this time.



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.*