FINRA

ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

June 24, 2024

Mr. Seth Schwartz
KCD Financial, Inc.
3061 Allied Street Suite B
Green Bay WI 54304

Reference: **FR2024-0610-0222/E** Org Id: 127473

1. Broadridge—Retirement Confidence Edges Up, With Some Optimism (061224CA_EBRIRCS)
   Rule: FIN 2210
   2 Pages Total Fee: $125

Dear Mr. Schwartz,

Please be advised that this review is based on our understanding, from the information you provided upon filing, that upon use, this communication (or the electronic communication or web page where the communication will be posted) will: i) prominently disclose the name of the member firm, ii) reflect any relationship between the member firm and any non-member entity or individual also named in the communication, and iii) if it includes other names, reflect which products or services are being offered by the member firm, as required by FINRA Rule 2210(d)(3). If our understanding is incorrect, please notify us as additional comments may be necessary.

The communication submitted appears consistent with applicable standards.

If you have any questions about this review, please feel free to contact me at (240) 386-4500.

Reviewed by,

Susan M. Kole
Principal Analyst

jb

Advertising Regulation
9509 Key West Avenue
Rockville, MD
20850
t 240 386 4500
f 240 386 4568

This year's Advertising Regulation Conference will be held on September 26-27 in Washington, D.C. For more information and to register, please view our site at: https://www.finra.org/events-training/conferences-events/2024-advertising-regulation-conference

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.*

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