Financial Industry Regulatory Authority

ADVERTISING REGULATION DEPARTMENT REVIEW LETTER

December 31, 2019

Mr. Kyle Smith
Broadridge Business Process Outsourcing, LLC
2 Gateway Center
Newark NJ 07102

Reference: **FR2019-1226-0079/E** Org Id: 114212

1. Death of a Family Member Checklist (#TP-SS-01)
   Rule: FIN 2210
   2 Pages Total Fee: $125

Dear Mr. Smith,

Our review is based on the understanding that in its final form, this communication will prominently disclose the name of the member, pursuant to FINRA Rule 2210(d)(3), as represented by your firm in the explanation uploaded with this submission.

The communication submitted appears consistent with applicable standards.

Reviewed by,

Kristina B. Shaw
Associate Principal Analyst

kbs

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.

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

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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