



SUMMIT
COMPLIANCE GROUP LLC

Tips & Best Practices for Seminar Advertising Compliance

Seminar Invitations and Promotions

- ▶ Make sure you disclose the event as an insurance presentation (and in some states you must describe it as an “insurance sales presentation”)
- ▶ Avoid terms such as “class”, “course”, “instructor”, “educational “workshop” or other similar terms.

Seminar Content

- ▶ Disclose all material information to consumers in each discussion; do not omit or misstate key facts or features
- ▶ Present only material that is consistent with producer licensing (i.e., insurance-only professionals should not conduct investment product presentations)
- ▶ Avoid high pressure sales tactics, scare tactics, unwarranted and exaggerated claims and statements
- ▶ Do not attempt to isolate consumers or clients from others

Rebates, Drawings and Gambling Laws

- ▶ Adhere to rebating/inducement regulations in each state – generally found in the states’ Unfair Trade Practices
- ▶ Consider gift cards, cash, gourmet meals, entertainment, client appreciation events, trips, etc.
- ▶ Review state gambling laws for any giveaways, drawings, etc.

Want to make sure your seminar is complied? Summit can help!

For more than 30 years, we have been making regulatory compliance a practical part of your business.

Whether you are just getting started with seminars or have been conducting them for years, we can ensure your advertisements, presentations, workbooks, and follow up messages are compliant with your state’s regulatory requirements.

Give Summit Compliance Group a call today.

612.308.6161

Summit Compliance Group LLC
© 2021

YOU DON'T HAVE TO GO IT ALONE

Summit Compliance Group, LLC offers independent distribution the Gold Standard in Advertising Compliance Services, at surprisingly affordable rates. We provide expert reviews on insurance, securities and advisory advertising materials so you can rest assured your risk is covered.

At Summit Compliance Group We Protect You, So You Can Grow Your Business

CONTACT US!

612.308.6161 | www.summitcompliancegroup.com

This document is provided for informational purposes only and represents general guidance for IMOs and producers for use when developing and presenting seminar marketing materials. It is not an exhaustive discussion of all the seminar advertising requirements and considerations. Summit Compliance Group, LLC does not provide, nor does this document represent, tax or legal advice. Always consult with your own tax and legal advisors.