

2017 FINRA
Annual
Conference

May 16-18, 2017

Marriott Marquis
Washington, DC



Back To Basics Compliance (B2BC) Program

Since 2015, the FINRA Annual Conference has included a special program designed to help new compliance professionals gain a better understanding of basic regulatory requirements and compliance responsibilities. The B2BC sessions are designed to be hands-on and provide attendees with the fundamentals of the topics covered. Participants are also encouraged to ask questions.

Who should attend?

The program is designed for compliance professionals who are new to their compliance role (less than five years' experience), and who are looking to build a network of peers and develop tools they can apply on the job.

Key Benefits

- ▶ More opportunities to learn and interact with FINRA speakers and staff
- ▶ Opportunities to build a network with other B2BC attendees
- ▶ Leading practices and tips for how to maximize the conference experience
- ▶ Valuable insight and practical guidance on compliance activities
- ▶ An exclusive orientation breakfast limited to B2BC attendees

Program Overview and Sessions

In addition to other exciting conference sessions and networking events, the B2BC program schedule includes a special track for participants. Session topics within this track are included below. The full agenda and session descriptions will be available early Spring.

- ▶ Welcome and Information Session
- ▶ Financial and Operational Best Practices
- ▶ Fundamentals of Financial and Operational Effective Practices
- ▶ Handling Customer Complaints 101
- ▶ Suitability 101: Assessing Client Suitability
- ▶ The Basics of Detecting, Preventing and Investigating Fraud and Misappropriation
- ▶ Understanding the Basics of the Examination Process

How to Participate

All Annual Conference attendees with less than five years of experience in a compliance role may participate in the B2BC program at no additional cost, and may sign up when registering for the conference. If you have any registration questions, please call (202) 728-6980 or email conreg@finra.org.