

October 5 – 6, 2017

Washington, DC

2017 FINRA

Advertising Regulation Conference

Featuring:

- ▶ new sessions on social media and digital communications including FINRA *Regulatory Notice 17-18* and using innovative approaches for effective disclosures, updates on rule developments and interpretations; and much more;
- ▶ two new Boot Camp sessions addressing the fundamentals of the rules and key compliance selected topics;
- ▶ new workshops on using design-thinking principles to create more effective disclosures plus interactive, hands-on advertising review workshops; and
- ▶ opportunities to network with peers and meet one-on-one with FINRA Advertising Regulation Department staff.



Agenda

FINRA's Advertising Regulation Conference

FINRA's Advertising Regulation Conference provides a forum for practical guidance on complying with advertising rules and new developments involving the communications rules, and opportunities to gain guidance on the advertising standards from industry and FINRA experts.

Networking Icebreaker

► Thursday, October 5 | 9:00 a.m. – 9:45 a.m.

Limited space available. Pre-registration is recommended.

Come meet your fellow attendees at this fun and informative warm-up session. Bring your coffee and questions about how to get the most from the conference experience. FINRA staff guide participants through light-hearted meet-and-greet activities and preview conference highlights.

Moderators:

Mark Bleich and Amy Sochard,
FINRA Advertising Regulation

Panelists:

Derek Ashworth,
FINRA Advertising Regulation

Lynn Lawson,
FINRA Advertising Regulation

Wayne Louviere,
FINRA Advertising Regulation

WEDNESDAY, OCTOBER 4

5:00 p.m. – 7:00 p.m. Registration and Office Hours

THURSDAY, OCTOBER 5

7:30 a.m. – 5:00 p.m. Registration

7:30 a.m. – 5:30 p.m. Office Hours and AREF Demonstrations

7:30 a.m. – 9:45 a.m. Continental Breakfast

10:00 a.m. – 11:15 a.m. Plenary Session I – Welcome Remarks and Current Developments

- Join this session to hear from experts regarding changes to the advertising rules resulting from FINRA's retrospective rule review, including the proposal to permit investment planning projections, recent FINRA guidance, and efforts to modify disclosure methods and content. The panel also includes a discussion of the FINRA Corporate Financing Rule proposal.

Welcome Remarks:

Thomas Pappas, FINRA Advertising Regulation

Moderator:

Joseph Savage, FINRA Office of Regulatory Analysis

Panelists:

Alexander Gavis, Fidelity Investments LLC

Thomas Pappas, FINRA Advertising Regulation

Joseph Price, FINRA Corporate Financing/Advertising Regulation



11:15 a.m. – 11:30 a.m. Networking Break

Agenda continued

Office Hours

Meet with FINRA Advertising Regulation staff members during office hours. Schedule a specific time through the conference app or by visiting the office hours scheduling desk at the conference. You can ask specific questions, discuss topics raised during the conference, or get to know your firm's assigned analyst.

11:30 a.m. – 12:30 p.m.	Concurrent Sessions I	
	<p>▶ Advertising Compliance Boot Camp: Fundamentals of FINRA Rule 2210 Designed for compliance and marketing professionals who are new to FINRA's advertising rules or experienced practitioners interested in a refresher. This session provides an overview of FINRA's Communications With the Public rule, including the filing requirements, internal approval and supervision, and the content standards. FINRA panelists answer questions about how to apply the rules to financial services communications and marketing materials, while providing tips on how to submit communications for review by Advertising Regulation Department staff.</p> <p>Moderator: Gregory Riviello, FINRA Advertising Regulation</p> <p>Panelists: Stephanie Gregory, FINRA Advertising Regulation Timothy Holland, FINRA Advertising Regulation Steven O'Mara, FINRA Advertising Regulation</p>	
	<p>▶ JOBS Act Implementation This session focusses on business and regulatory developments related to the JOBS Act, including recent innovations around how firms conduct business online. FINRA and industry experts discuss how firms can stay in compliance as they conduct public and private offerings under the new rules.</p> <p>Moderator: Ira Gluck, FINRA Advertising Regulation</p> <p>Panelists: Joan Adler, Ellenoff Grossman & Schole LLP Rebecca Knutson, FINRA Advertising Regulation Alissa (Lisa) Robinson, FINRA Membership Application Program</p>	

Agenda continued

Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- ▶ ACA Compliance Group
- ▶ Foreside
- ▶ Hearsay Systems
- ▶ NRS
- ▶ Pinpoint Global Communications
- ▶ Proofpoint
- ▶ RedOak Compliance Solutions, LLC
- ▶ RegEd
- ▶ Smarsh

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at (508) 759-8180 or email Jeff.Arcuri@finra.org to request a conference exhibitor package.

11:30 a.m. – 12:30 p.m.	Concurrent Sessions I CONTINUED
	<p>▶ Current Trends and Topics for Investment Company Communications Join FINRA staff and industry panelists as they discuss advertising compliance issues concerning registered investment companies, including mutual funds, ETFs and closed-end funds. The panel includes discussions on current trends, changes to FINRA Rule 2210 and recent regulatory interpretations, including related performance. The panelists also share tips to strengthen the marketing and compliance relationship when developing compliant communications.</p> <p>Moderator: Derek Ashworth, FINRA Advertising Regulation</p> <p>Panelists: Darrian Hopkins, TIAA Lynn Lawson, FINRA Advertising Regulation Danielle Nicholson Smith, T. Rowe Price Investments Services, Inc.</p>
12:30 p.m. – 1:30 p.m.	Lunch
1:30 p.m. – 1:45 p.m.	Dessert With Exhibitors

Agenda continued

AREF Demos

Learn about the latest enhancements to FINRA's Advertising Regulation Electronic Filing (AREF) System, including upcoming changes that will allow firms to file websites in native format. These highly interactive demos answer all of your questions about the AREF system and filing through the batch submission process.

1:45 p.m. – 2:45 p.m.	Concurrent Sessions II	
	<p>▶ Current Trends and Topics for Investment Company Communications (Repeat Session) Join FINRA staff and industry panelists as they discuss advertising compliance issues concerning registered investment companies, including mutual funds, ETFs and closed-end funds. The panel includes discussions on current trends, changes to FINRA Rule 2210 and recent regulatory interpretations, including related performance. The panelists also share tips to strengthen the marketing and compliance relationship when developing compliant communications.</p> <p>Moderator: Derek Ashworth, FINRA Advertising Regulation</p> <p>Panelists: Darrian Hopkins, TIAA Lynn Lawson, FINRA Advertising Regulation Danielle Nicholson Smith, T. Rowe Price Investments Services, Inc.</p>	
	<p>▶ Advertising Compliance Boot Camp: Select Topics Designed for new compliance and marketing professionals, FINRA panelists provide insights into the core concepts of social media and digital communications, as well as the basic requirements and frequently raised regulatory compliance questions with respect to communications concerning mutual funds, ETFs and variable insurance products. The panel also features sample advertisements and important do's and don'ts.</p> <p>Moderator: Pramit Das, FINRA Advertising Regulation</p> <p>Panelists: Steven Choi, FINRA Advertising Regulation Joseph George, FINRA Advertising Regulation Wayne Louviere, FINRA Advertising Regulation</p>	


Agenda continued

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional™ (CRCP™), Certified Financial Planner (CFP), and Continuing Legal Education (CLE) continuing education credits.

1:45 p.m. – 2:45 p.m.	Concurrent Sessions II CONTINUED
	<p>▶ General Brokerage Communications Trends Panelists from FINRA and the industry discuss advertising compliance and sales practice issues applicable to general brokerage firms and their registered representatives. Industry panelists explore advertising compliance challenges and how they address the advertising rules with respect to dually registered representatives, marketing materials created by third parties, and new investment products. This panel also covers current areas of interest such as business development companies, private placements and research reports.</p> <p>Moderator: David Roscum, FINRA Advertising Regulation</p> <p>Panelists: Stephanie Gregory, FINRA Advertising Regulation Kimberly Johnson, LPL Financial, LLC Robert Sondheim, E*TRADE Securities LLC</p>
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Concurrent Sessions III
	<p>▶ Helping Small Firms Navigate the Communications Rules How do small firms stay in compliance with the communications with the public rules? FINRA staff and industry panelists answer audience questions and provide practical tips and helpful guidance.</p> <p>Moderator: Gregory Riviello, FINRA Advertising Regulation</p> <p>Panelists: Nanette Chern, Funds Distributor, LLC John Veator, FINRA Member Relations and Education James Webb, Cape Securities, Inc.</p> 


Agenda continued

3:00 p.m. – 4:00 p.m.	Concurrent Sessions III CONTINUED	
	<p>▶ Variable Insurance Products: Current Advertising Issues Panelists from FINRA and the industry conduct this interactive session— first with a brief overview of the essentials for creating compliant communications, followed by a discussion of specific areas that frequently raise questions and regulatory challenges. The panelists also explore new developments, including complex structures of contracts and investment options, along with how firms address the compliance challenges they raise.</p> <p>Moderator: Prमित Das, FINRA Advertising Regulation</p> <p>Panelists: Richard Choi, Carlton Fields Joseph George, FINRA Advertising Regulation Julie Leitwein, Nationwide Insurance</p>	
	<p>▶ Design Thinking Workshop Christine Wheatley, Design Strategist at Fidelity Labs, leads this dynamic session on using design thinking principles to create more effective disclosures in communications with the public.</p> <p>Moderator: Christine Wheatley, Fidelity Investments LLC</p> <p>Panelists: Alexander Gavis, Fidelity Investments LLC Thomas Pappas, FINRA Advertising Regulation</p>	
4:00 p.m. – 4:15 p.m.	Networking Break	

Agenda continued

4:15 p.m. – 5:15 p.m.	Plenary Session II – Social Media and Digital Communications	
	<p>▶ FINRA and industry experts discuss the guidance provided in FINRA’s <i>Regulatory Notice 17-18</i>. Panelists address how firms have implemented the guidance and respond to follow-up questions. The panel also looks at developing areas, such as live streaming video and how firms integrate cybersecurity and data privacy into digital communications compliance.</p> <p>Moderator: Amy Sochard, FINRA Advertising Regulation</p> <p>Panelists: Stephen Bard, Wells Fargo Advisors Ted Newton, MassMutual Financial Group</p>	
5:15 p.m. – 6:45 p.m.	Networking Reception	

Agenda continued

FRIDAY, OCTOBER 6	
7:00 a.m. – 1:30 p.m.	Registration
7:30 a.m. – 1:30 p.m.	Office Hours and AREF Demonstrations
7:00 a.m. – 8:30 a.m.	Continental Breakfast
8:30 a.m. – 9:30 a.m.	Plenary Session III – FINRA Regulatory Highlights
	<p>▶ Join this session to hear about emerging regulatory developments that are impacting broker-dealers' business now and in the future. Speakers from around FINRA share in-depth information on issues ranging from the impact of the DOL rule on firms, outside business activities and FINTECH developments.</p> <p>Moderator: Joseph Savage, FINRA Office of Regulatory Analysis</p> <p>Panelists: Meredith Cordisco, FINRA Office of General Counsel Angela Goelzer, FINRA Office of Regulatory Analysis Haimera (Haime) Workie, FINRA Emerging Regulatory Issues</p> 
9:30 a.m. – 9:45 a.m.	Networking Break

Agenda continued

9:45 a.m. – 10:45 a.m.	Concurrent Sessions IV	
	<p>▶ General Brokerage Communications Trends (Repeat Session)</p> <p>Panelists from FINRA and the industry discuss advertising compliance and sales practice issues applicable to general brokerage firms and their registered representatives. Industry panelists explore advertising compliance challenges and how they address the advertising rules with respect to dually registered representatives, marketing materials created by third parties, and new investment products. This panel also covers current areas of interest such as business development companies, private placements and research reports.</p> <p>Moderator: David Roscum, FINRA Advertising Regulation</p> <p>Panelists: Stephanie Gregory, FINRA Advertising Regulation Kimberly Johnson, LPL Financial, LLC Robert Sondheim, E*TRADE Securities LLC</p>	
	<p>▶ Fixed Income Communications</p> <p>Learn about the latest developments in fixed income communications compliance from FINRA and MSRB staff experts. During this session, panelists address the MSRB's proposed rule changes for advertising and FINRA's new confirmation disclosure standards. The regulators also share key do's and don'ts for structured products and asset-backed securities communications.</p> <p>Moderator: Amy Sochard, FINRA Advertising Regulation</p> <p>Panelists: Pamela Ellis, Municipal Securities Rulemaking Board (MSRB) Cynthia Friedlander, FINRA Regulatory Operations Rebecca Knutson, FINRA Advertising Regulation</p>	

Agenda continued

9:45 a.m. – 10:45 a.m.	Concurrent Sessions IV CONTINUED	
	<p>▶ Advertising Review Workshop During this highly interactive and dynamic session, attendees apply advertising rules to several mock advertisements and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.</p> <p>Moderator: Anthony Maher, FINRA Advertising Regulation</p> <p>Panelists: Kimberly Flanders, FINRA Advertising Regulation Lynn Lawson, FINRA Advertising Regulation</p>	
10:45 a.m. – 11:00 a.m.	Networking Break	
11:00 a.m. – 12:00 p.m.	Concurrent Sessions V	
	<p>▶ Sales Practices—A Case Study Approach Designed for compliance professionals who supervise sales staff, this session examines the issues that registered principals confront in today’s regulatory environment. Panelists representing FINRA Advertising Regulation, Enforcement and District Office staff address a wide range of topics drawn from recent enforcement cases, including supervisory procedures related to outside business activities, recent exam findings and the disciplinary process. They also highlight potential “red flags” and provide suggestions to help avoid compliance issues.</p> <p>Moderator: Steven O’Mara, FINRA Advertising Regulation</p> <p>Panelists: James Day, FINRA Enforcement J. Martin Levine, FINRA Advertising Regulation Elizabeth Page, FINRA Boston District Office</p>	

Agenda continued

11:00 a.m. – 12:00 p.m.	Concurrent Sessions V CONTINUED	
	<p>▶ Advertising Review Workshop (Repeat Session) During this highly interactive and dynamic session, attendees apply advertising rules to several mock advertisements and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.</p> <p>Moderator: Anthony Maher, FINRA Advertising Regulation</p> <p>Panelists: Kimberly Flanders, FINRA Advertising Regulation Lynn Lawson, FINRA Advertising Regulation</p>	
	<p>▶ Design Thinking Workshop (Repeat Session) Christine Wheatley, Design Strategist at Fidelity Labs, leads this dynamic session on using design thinking principles to create more effective disclosures in communications with the public.</p> <p>Moderator: Christine Wheatley, Fidelity Investments LLC</p> <p>Panelists: Alexander Gavis, Fidelity Investments LLC Thomas Pappas, FINRA Advertising Regulation</p>	
12:00 p.m. – 12:30 p.m.	Networking Break and Pick Up Boxed Lunch	

Agenda continued

12:30 p.m. – 1:30 p.m.	Plenary Session IV – Session Highlights and Open Questions and Answers	
	<p>▶ Session moderators summarize and expand upon significant discussion and questions from their panels. FINRA senior staff answer live questions from attendees.</p> <p>Moderator: Thomas Pappas, FINRA Advertising Regulation</p> <p>Panelists: Prमित Das, FINRA Advertising Regulation Joseph Price, FINRA Corporate Financing/Advertising Regulation Gregory Riviello, FINRA Advertising Regulation Joseph Savage, FINRA Office of Regulatory Analysis Amy Sochard, FINRA Advertising Regulation</p>	
1:30 p.m.	Conference Adjorns	

Speakers

Name	Company
Joan Adler	Ellenoff Grossman & Schole LLP
Derek Ashworth	FINRA Advertising Regulation
Stephen Bard	Wells Fargo Advisors
Mark Bleich	FINRA Advertising Regulation
Nanette Chern	Funds Distributor, LLC
Steven Choi	FINRA Advertising Regulation
Richard Choi	Carlton Fields
Meredith Cordisco	FINRA Office of General Counsel
Pramit Das	FINRA Advertising Regulation
James E. Day	FINRA Enforcement
Pamela Ellis	Municipal Securities Rulemaking Board (MSRB)
Kimberly Flanders	FINRA Advertising Regulation
Cynthia Friedlander	FINRA Regulatory Operations
Alexander Gavis	Fidelity Investments LLC
Joseph George	FINRA Advertising Regulation
Ira Gluck	FINRA Advertising Regulation
Angela Goelzer	FINRA Office of Regulatory Analysis
Stephanie Gregory	FINRA Advertising Regulation
Timothy Holland	FINRA Advertising Regulation
Darrian Hopkins	TIAA
Kimberly Johnson	LPL Financial, LLC
Rebecca Knutson	FINRA Advertising Regulation
Lynn Lawson	FINRA Advertising Regulation
Julie Leitwein	Nationwide Financial Services
J. Martin (Marty) Levine	FINRA Advertising Regulation
Wayne Louviere	FINRA Advertising Regulation
Anthony Maher	FINRA Advertising Regulation

Speakers continued

Ted Newton	MassMutual Financial Group
Danielle Nicholson Smith	T. Rowe Price Investments Services, Inc.
Steven O'Mara	FINRA Advertising Regulation
Elizabeth Page	FINRA Boston District Office
Thomas Pappas	FINRA Advertising Regulation
Joseph Price	FINRA Corporate Financing/Advertising Regulation
Gregory Riviello	FINRA Advertising Regulation
Alissa (Lisa) Robinson	FINRA Membership Application Program
David Roscum	FINRA Advertising Regulation
Joseph Savage	FINRA Office of Regulatory Analysis
Amy Sochard	FINRA Advertising Regulation
Robert Sondheim	E*TRADE Securities LLC
John Veator	FINRA Member Relations and Education
James Webb	Cape Securities, Inc.
Christine Wheatley	Fidelity Investments LLC
Haimera (Haime) Workie	FINRA Emerging Regulatory Issues

Advertising Regulation Staff In Attendance

Name	Company
Michael Berkovich	FINRA Advertising Regulation
Nicole Cashaw	FINRA Advertising Regulation
MaryBeth Clarke	FINRA Advertising Regulation
John Cunningham	FINRA Advertising Regulation
Nancy Damiano	FINRA Advertising Regulation
Timothy Dennis	FINRA Advertising Regulation
Thomas Dineen	FINRA Advertising Regulation
Brian Finnell	FINRA Advertising Regulation
David Kim	FINRA Advertising Regulation
Susan Kole	FINRA Advertising Regulation
Steve Mayhew	FINRA Advertising Regulation
Meredith Mesa	FINRA Advertising Regulation
Natlyn Murrain	FINRA Advertising Regulation
Tracy Ofori	FINRA Advertising Regulation
Matthew Pinto	FINRA Advertising Regulation
Jessica Polhamus	FINRA Advertising Regulation
Bradley Raymond	FINRA Advertising Regulation
Theodora Richter	FINRA Advertising Regulation
Jeffrey Salisbury	FINRA Advertising Regulation
Kristina Shaw	FINRA Advertising Regulation
Cathy Siewick	FINRA Advertising Regulation
Mark E. Smith	FINRA Advertising Regulation
Evan Spevak	FINRA Advertising Regulation
Caroline Waugaman	FINRA Advertising Regulation
Justice Zormelo	FINRA Advertising Regulation

Registration

Two Ways to Participate

Attend in person

Attend the conference in person and take advantage of unique networking opportunities to connect with industry peers and regulators.

Live online broadcast

Those who can't attend in person can participate via live online broadcast streamed over the Internet. Participants can choose a session to view, and can toggle between other live sessions in real time. Most sessions will be recorded and made available after the conference, so participants can catch up on any sessions they missed live. In addition, online participants receive access to all conference materials, and can ask questions during the conference.

How to Register

To register, visit www.finra.org/adregconference2017 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (202) 728-6980 or send an email to conreg@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

The special discounted rate for the first 100 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$100 processing fee—will be granted to written requests received 14 days or more prior to the start date of the conference. We regret that refunds will not be granted after September 21, 2017.

Fees

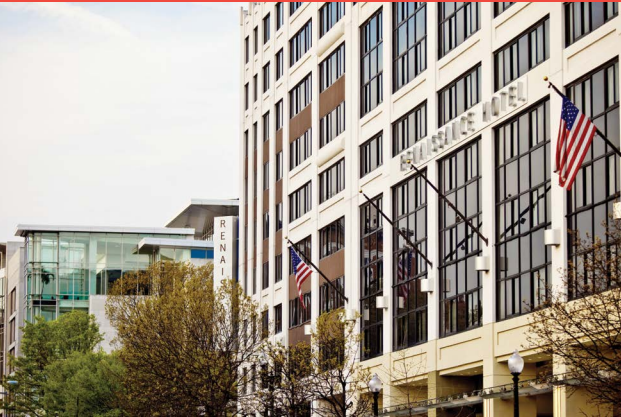
In Person – Individual	First 100 Through 7/28/17	100 + After 7/28/17
FINRA Member Firm <i>must provide valid CRD #</i>	\$900	\$1,000
Non-Member	\$1,350	\$1,500
Government / Regulator	\$600	\$700
In Person – Group* (Per Person)		
FINRA Member Firm <i>must provide valid CRD #</i>	\$800	\$900
Non-Member	\$1,200	\$1,300
Live Broadcast	Multi-Viewer License Fees	
FINRA Member (Small Firm)	\$300	
FINRA Member Firm	\$600	
Non-Member	\$1,000	

* Available to firms registering three (3) or more employees at the same time with the same credit card. Please follow instructions in registration system.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6980.

Hotel and Travel



The 2017 Advertising Regulation Conference takes place at:

Renaissance Washington, DC Downtown Hotel
999 Ninth Street, NW
Washington, DC 20001

Toll free: (800) 257-7544

Hotel Reservations

A room block has been added at the Renaissance Washington, DC Downtown Hotel. The room rate of \$319, plus tax per night, is available until September 18, 2017, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis. Reserve your hotel room [online](#), or call (202) 898-9000 and identify yourself as an attendee of FINRA's Advertising Regulation Conference.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary. **Please note** that hotel reservations, cancellations, and charges are the attendee's responsibility.

2017 FINRA Advertising Regulation Conference App

Our conference app is created specifically for Advertising Regulation attendees; it empowers our attendees to network and connect, and it provides conference details at your fingertips. The app will be available for download in the near future. It includes information about:

- ▶ speakers;
- ▶ sessions;
- ▶ exhibitors;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.

