Financial Industry Regulatory Authority

FINRA Foundations of Web CRD & IARD Registration Form

Please complete a form for each representative of your firm attending a session(s).

First Name		**Last Name**	
Phone		**E-mail Address***	
Firm Name		**Title**	
Business Address			

Are you a Web CRD®/IARD™ Account Administrator for your firm? Yes_____ No_____

***Important Note:** Provide a complete and accurate **email address** so we may send your registration confirmation email and updates regarding this program. Email addresses are not used for any other purposes.

Session Selection: Please indicate below the training session(s) for which you are registering.

CHECK BOX	DATES	FEE	LOCATION
☐	All 2013 sessions are filled. Check the website periodically for 2014 sessions.	**$500****	TBD

**Payment is due upon registration. Registrants are solely responsible for travel and hotel accommodations costs.

Payment Method (Select one): Full payment is due with the registration form in order to be considered complete.

CREDIT CARD PAYMENT	❑ **Visa**	❑ **MasterCard**	❑ **American Express**
Registration forms with credit card payments may be **faxed** to the FINRA Conference Registration at (202) 728-6956 or mailed to the address listed below for check payments.			
Name on Credit Card			
Credit Card Account #			
Expiration Date (mm/year)			
Signature			

CHECK PAYMENT	❑ **Check Enclosed.** Please make check payable to **FINRA**.
Registration forms with check payments cannot be faxed. A check must be **mailed** along with the form to: **FINRA** **Attention: Foundations of Web CRD/IARD Training** **P.O. Box 7777-W8440** **Philadelphia, PA 19175-8440**	
For Internal Use Only Date Received: AMT: REG: PCTRANS:	

Foundations of Web CRD/IARD Registration Information and Form Instructions

Session Descriptions

Foundations of Web CRD/IARD Session Registration Fee ($500) -** includes two days of training, a continental breakfast and lunch each day, plus detailed and comprehensive Web CRD and investment adviser firm training information. Space is limited to 12 seats per session.

The Foundations of Web CRD/IARD training is designed for broker-dealer firms or joint broker-dealer/investment adviser firms and should be beneficial to those who are new to registration and licensing, new to Web CRD and IARD, or those who want to receive refresher training and registration tips. The two days of training offer practical, hands-on, and comprehensive training modules.

Foundations of Web CRD/IARD Session Topics
Introduction Web CRD Overview Account Administration Electronic Forms Overview Individual Form Filing View Individual Individual Queues Firm Notifications Form BR Disclosure Continuing Education Reports Organization Form Filing: Broker-Dealer and Investment Adviser Broker-Dealer and Investment Adviser View Organization, Organization Queues IARD Overview and New Functionality Accounting

**Payment is due upon registration. Registrants are solely responsible for the costs of travel and hotel accommodations.

Registration Via Fax or Mail

Fax	Complete this **registration form**, including your credit card information, and fax it to FINRA Conference Registration at (202) 728-6956. This completes your registration—**do not mail the original form**. Please do not fax your registration form if paying by check.
Mail	Complete this **registration form** and mail it to the address below with a check made payable to **FINRA**. FINRA Attention: Foundations of Web CRD/IARD Training P.O. Box 7777-W8440 Philadelphia, PA 19175-8440 **Please Note:** Registration may not be sent via overnight mail. Checks are sent directly to a bank lockbox, and the P.O. Boxes will not accept courier and overnight deliveries.

You may also register online or via phone (only credit card transactions are accepted for these methods). Please do **not** fax or mail a copy of this registration form if you register online or by phone.

- To register online, go to the 2011 Foundations of Web CRD/IARD Web page and click on the 'REGISTER NOW' link for the session you would like to attend. Enter the information requested on the screen.
- To register via telephone, call (212) 858-4119, and provide the information requested.

Registration Confirmation
Confirmation of your registration will be sent to you within two weeks of receipt of payment. Your registration will be processed, and your space held, only at the time we receive the registration fee. Registrations will not be complete until full payment is received.

Cancellation Policy
Sessions are subject to cancellation based on the number of participants. We will notify registrants of session cancellations at least 30 days prior to session start dates. Registration fees will be refunded upon FINRA cancellation of a session.

If a registrant wishes to cancel, the following cancellation policy will be followed:
Notification of Cancellation:

- 30+ days prior to the start date of the training session = 100% full refund of the Registration Fee
- 14 to 30 days prior to the start date of the training session = Full refund of the Registration Fee, less a $100.00 Cancellation Fee
- Less than 14 days = NO REFUND

Cancellation notification must be in writing and should be faxed to (202) 728-6956 or sent via e-mail to conreg@finra.org.

Hotel Information

FINRA is **not** holding hotel reservations for any session. Attendees are solely responsible for securing their own hotel accommodations. Please refer to the Foundations of Web CRD/IARD Frequently Asked Questions Web page for a brief list of suggested hotels that are in close proximity to the facility in which the training sessions will be conducted.

Questions

- Call the **Gateway Call Center at 301-869-6699 for general Foundations of Web CRD/IARD information** (i.e., the topics covered in the training sessions, session dates, locations, how to register, etc.)
- Call **FINRA Conference Registration at 212-858-4119 for specific registration assistance** (i.e., discrepancies with registration fee payment or registration confirmation information, non receipt of confirmation, etc.).