

Advertising Regulation Conference



October 9 – 10, 2014

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

New this year:

- ▶ Advertising Boot Camp pre-conference session
- ▶ Update on advertising rule retrospective process
- ▶ Presentations from compliance, marketing and legal experts representing 10 different firms
- ▶ Case study: how advertising and compliance staff collaborate on successful campaigns

Back by popular demand:

- ▶ Social media considerations
- ▶ Advertising review workshop
- ▶ Office hours with FINRA Advertising Regulation analysts
- ▶ Demonstrations of the Advertising Regulation Electronic Files (AREF) system

Register today at www.finra.org/conferences/adreg4.



New This Year: Two Ways to Participate

Attend in person.

- ▶ Meet one-on-one with FINRA Advertising Regulation staff.
- ▶ Network with industry peers *and regulators*.
- ▶ Explore compliance products and services from industry suppliers.

Participate via live broadcast.

- ▶ Listen to or watch all conference sessions over the Internet.
- ▶ Toggle between sessions in real time.
- ▶ Access all conference materials.

All attendees will have access to on-demand recordings of conference sessions shortly after the event.

Earn Continuing Education Credits = CLE, CPE and CRCP

Upon completion of the conference, participants may be eligible to receive continuing education credits.

- ▶ **CLE** As many as nine CLE credits may be available depending upon the number of conference hours attended and the state in which credit is sought.

While FINRA processes CLE applications on behalf of conference attendees, attendees are responsible for complying with all rules and regulations governing the jurisdictions in which they seek credit. Note: CLE credit is not available for the live broadcast or on-demand recordings.

- ▶ **CPE** Conference attendees may receive up to nine CPE credits. This is a live group event. The program level is “overview,” and there are no prerequisites or advanced preparation required. Note: CPE credit is not available for the live broadcast or on-demand recordings.
- ▶ **CRCP** Graduates of the FINRA Institute at Wharton Certified Regulatory and Compliance Professional (CRCP) program may receive nine CRCP CE credits for attending the conference. Alumni should self-report their credits upon conclusion of the conference by visiting www.finra.org/crcp/ce and completing the online form.



West Professional Development is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org.

Agenda With Session Descriptions

WEDNESDAY, OCTOBER 8

5:00 p.m. – 7:00 p.m. **Registration and Information**

THURSDAY, OCTOBER 9

7:30 a.m. – 5:00 p.m. **Registration and Information**

7:30 a.m. – 9:00 a.m. **Continental Breakfast**

8:00 a.m. – 5:30 p.m. **Office Hours and AREF Demonstration**

9:00 a.m. – 10:30 a.m. **Pre-Conference—Advertising Compliance Boot Camp**

Learn the core principles of the advertising rules from FINRA experts. Designed for compliance and marketing professionals who are new to the advertising rules or experienced practitioners interested in a refresher, this pre-conference session provides what you need to know when applying both FINRA and SEC rules to financial services advertisements and marketing materials. Led by Advertising Regulation Department senior staff, the presentation covers the fundamental rule requirements and their underlying principles.

10:30 a.m. – 11:00 a.m. **Break**

11:00 a.m. – 12:15 p.m. **Opening General Session—Advertising Rule Retrospective and Regulatory Developments**

In *Regulatory Notice 14-14*, FINRA announced the retrospective review of the communications with the public rules. Join this session to hear from FINRA senior staff regarding updates on the retrospective review process, including the recent survey of FINRA firms and next steps in the process. Panelists also discuss new rules and recent guidance impacting marketing and communications.

12:15 p.m. – 1:30 p.m. **Lunch**

1:30 p.m. – 3:00 p.m. **Concurrent Sessions I**

▶ **Investment Company Communications**

This panel covers advertising compliance issues regarding mutual funds, ETFs and closed-end funds, as well as current areas of interest such as liquid alternative funds. Panelists from FINRA and the industry discuss advertising compliance and current issues applicable to registered investment company products. Industry panelists also explore compliance challenges and how they address the advertising rules.

▶ **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 for interacting with customers, recent exam findings and the disciplinary process. They also highlight potential "red flags" and provide suggestions to help avoid compliance issues.

▶ **Social Media, Digital Communications and Compliance**

Industry experts join FINRA staff to discuss compliance considerations for digital communications, including social media and mobile communications. This session addresses recent regulatory developments and compliance practices. Panelists offer practical answers to questions about compliance approaches for online communications.

3:00 p.m. – 3:15 p.m. **Break**

Agenda With Session Descriptions

THURSDAY, OCTOBER 9 (continued)

3:15 p.m. – 4:45 p.m. **Concurrent Sessions II**

▶ **Investment Company Communications**

This panel covers advertising compliance issues regarding mutual funds, ETFs and closed-end funds, as well as current areas of interest such as liquid alternative funds. Panelists from FINRA and the industry discuss advertising compliance and current issues applicable to registered investment company products. Industry panelists also explore compliance challenges and how they address the advertising rules.

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5:00 p.m. – 6:30 p.m. Reception

FRIDAY, OCTOBER 10

7:30 a.m. – 2:00 p.m. Registration and Information

7:30 a.m. – 9:00 a.m. Continental Breakfast

8:00 a.m. – 3:00 p.m. Office Hours and AREF Demonstration

9:00 a.m. – 10:15 a.m. **General Session—Advertising and Compliance: A Team Effort**

This general session offers a detailed, inside look at how advertising and compliance departments work together to create a successful campaign. Industry panelists share the advertising development process at a nationally known financial services company.

10:15 a.m. – 10:30 a.m. Break

10:30 a.m. – 12:00 p.m. **Concurrent Sessions III**

▶ **Advertising Review Workshop**

Apply advertising rules to several mock advertisements and uncover the hidden concerns during this highly interactive and dynamic session. Work in small groups and present your findings to other workshop attendees while moderators present the regulatory perspective, clarify any misperceptions and answer questions.

▶ **Alternative Investments: A Changing Landscape**

How can firms navigate the compliance challenges posed by the changing landscape of private placements, crowdfunding, non-traded REITs, business development companies and other alternative investments? Come join the discussion as experts from the industry, FINRA's Corporate Financing Department and Advertising Regulation staff take an in-depth look at the latest regulatory developments impacting communications for these products and what lies ahead.

Agenda With Session Descriptions

FRIDAY, OCTOBER 10 (continued)

▶ **General Brokerage Advertising**

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 debt securities and structured products.

12:00 p.m. – 12:30 p.m. **Break and Pickup Boxed Lunch**

12:30 p.m. – 2:00 p.m. **Concurrent Sessions III**

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▶ **Variable Insurance Products: Current Advertising Issues**

Panelists from FINRA and the industry conduct this interactive session, which focuses on topics such as supplemental hypothetical illustrations, structured investment options, de-risking practices, comparisons and the related regulatory challenges. The discussion also explores the different marketing techniques and channels firms use to promote variable insurance products and the compliance approaches taken for each.

Other Information

Register Early for Discounted Registration Rates

IN-PERSON	Before or on Sept. 17, 2014	After Sept. 17, 2014
Member	\$825	\$925
Non-Member	\$1,250	\$1,350
*Group Rate Per Person - Member	\$700	\$800
*Group Rate Per Person - Non-Member	\$1,075	\$1,175

ONLINE	Single-Viewer License Fees	Multi-Viewer License Fees
Member, Government/Regulator	\$150	\$300
Non-Member	\$525	\$825

* Group rate is available for three or more attendees from the same company.

For all registration categories, full refunds, less a \$100 processing fee, will be granted to written requests received by Friday, September 26

How to Register

Complete the online registration form available at www.finra.org/conferences/adreg4 and submit payment via credit card. Online registration closes on October 8, 2014. If you experience difficulties registering, please call (202) 728-8131 or send an email to conreg@finra.org.

Conference registration is limited and available on a first-come, first-served basis. Please note that this event is not open to journalists.

Hotel Information

A room block is available at the **Renaissance Washington, DC Downtown Hotel** at the special rate of \$289 per night, plus tax. This rate will be available until September 23 or until the room block is sold out, whichever occurs first. After that point, hotel reservations will be accepted on a space- and rate-available basis. Hotel reservations, cancellations and charges are the attendee's responsibility. To reserve a room, visit www.finra.org/conference/adreg/hotel or call (800) 228-9290 and identify yourself as an attendee of FINRA's Advertising Regulation Conference.

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Travel Information

Please make sure your registration has been confirmed via email prior to booking travel for and arriving at the conference. FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to 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 the conference dates and/or location change.

Cancellation Policy

Full refunds for registration, less a \$100 processing fee, will be granted to written requests received 14 days or more prior to the start date of the program. No refunds will be granted after September 25, 2014.

Help Shape Session Content

We invite you to help shape session content by submitting questions in advance. Email your questions to conreg@finra.org by Friday, September 26.

Contact Information

For more information or concerns, please call (202) 728-8339 or send an email to conreg@finra.org.