



## 2022 FINRA Advertising Regulation Conference

FINRA's Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced communications compliance professionals. Industry and regulatory speakers facilitate interactive, forward-looking discussions on current practices, policies, priorities and rulemaking. The conference also provides the opportunity to network with industry peers and meet one-on-one with Advertising Regulation Department staff during office hours and throughout the event.

# Agenda

All times are listed in Eastern Time. All sessions are being recorded. 

Wednesday, October 19	
5:00 p.m. – 7:00 p.m.	<ul style="list-style-type: none"> <li>• Kick Off Happy Hour With Exhibitors</li> <li>• Registration</li> <li>• Office Hours</li> </ul>
Thursday, October 20	
7:30 a.m. – 5:30 p.m.	<ul style="list-style-type: none"> <li>• Registration</li> <li>• Office Hours</li> <li>• Advertising Regulation Technology Demonstrations</li> </ul>
7:30 a.m. – 9:30 a.m.	Continental Networking Breakfast
8:30 a.m. – 9:15 a.m.	<p>▶ <b>Networking Icebreaker</b></p> <p>Come meet your fellow attendees at this fun and informative icebreaker 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.</p> <p><b>Moderator:</b> Suprina Hicks, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Megan Callery, FINRA Advertising Regulation Kristina Shaw, FINRA Advertising Regulation</p>
9:30 a.m. – 10:00 a.m.	<p>▶ <b>Plenary Session I: Welcome Remarks and Advertising Regulation Priorities</b></p> <p>During this session, Amy Sochard opens the conference and shares current Advertising Regulation Department priorities.</p> <p><b>Speaker:</b> Amy Sochard, FINRA Advertising Regulation</p>
10:00 a.m. – 11:00 a.m.	<p>▶ <b>Plenary Session II: Current Issues</b></p> <p>Join FINRA and SEC staff for an in-depth conversation on current communications with the public regulatory issues, including the new Investment Advisers Act Marketing Rule.</p> <p><b>Moderator:</b> Joseph (Joe) Savage, FINRA Office of General Counsel</p> <p><b>Panelists:</b> Melissa Rovers Harke, U.S. Securities and Exchange Commission (SEC) Joseph (Joe) Price, FINRA Corporate Financing &amp; Advertising Regulation Amy Sochard, FINRA Advertising Regulation</p>
11:00 a.m. – 11:15 a.m.	Networking Break

For more information and to register, please visit [www.finra.org/adreg22](http://www.finra.org/adreg22)

11:15 a.m. – 12:15 p.m.	<p>▶ <b>Concurrent Sessions I</b></p>
	<p>▶ <b>Advertising Compliance: Fundamentals of FINRA Rule 2210</b></p> <p>This session is designed for compliance and marketing professionals who are new to FINRA’s advertising rules or experienced practitioners interested in a refresher. A panel of FINRA professionals provides an overview of FINRA’s Communications With the Public rule, including filing requirements, internal approval and supervision, and content standards. Panelists answer questions about how to apply the rules to financial services communications and marketing materials.</p> <p><b>Moderator:</b> Anthony Maher, FINRA Advertising Regulation</p> <p><b>Panelists:</b> James (Jim) Allen, FINRA Advertising Regulation John Cunningham, FINRA Advertising Regulation Thomas (Tom) Dineen, FINRA Advertising Regulation Natlyn Murrain, FINRA Advertising Regulation</p>
	<p>▶ <b>Fintech Firms—Communications Compliance Topics</b></p> <p>Join FINRA staff and industry panelists as they share insights on challenges and effective practices related to communications compliance for Fintech focused firms. The panel covers topical issues such as digital engagement practices, mobile applications, integrated product offerings, and crypto assets. Panelists answer questions and provide tips on the use of technology to help navigate this quickly evolving area.</p> <p><b>Moderator:</b> Ira Gluck, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Timothy (Tim) Holland, FINRA Advertising Regulation Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI) Julius Lehman-Carbia, Wealthfront Brokerage, LLC</p>
12:15 p.m. – 1:15 p.m.	Networking Lunch
1:15 p.m. – 1:30 p.m.	Dessert With Exhibitors
1:30 p.m. – 2:30 p.m.	<p>▶ <b>Concurrent Sessions II</b></p>
	<p>▶ <b>Advertising Compliance Bootcamp: Select Topics</b></p> <p>This panel is designed for compliance and marketing professionals seeking to gain a deeper understanding of select Rules and FINRA guidance to create compliant communications. Panelists review frequently raised regulatory compliance questions related to communications concerning mutual funds, ETFs and variable insurance products. The select topics include disclosure and performance standards of SEC Rules, standards for variable insurance product communications, guidance with respect to options communications, presentation of rankings, and a discussion of the core concepts of social media and digital communications.</p> <p><b>Moderator:</b> Derek Ashworth, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Stephanie Gregory, FINRA Advertising Regulation David Kim, FINRA Advertising Regulation Caroline Waugaman, FINRA Advertising Regulation</p>

	<p>▶ <b>Investment Companies Current Topics</b></p> <p>Join FINRA staff and industry panelists as they discuss topical advertising compliance issues concerning registered investment companies, including mutual funds, ETFs and closed-end funds. Panelists cover the compliance challenges associated with complex products such as single stock ETFs, crypto futures funds, non-transparent ETFs and ESG focused investments. The panel also includes discussions regarding regulatory interpretations and compliance tips.</p> <p><b>Moderator:</b> Prमित Das, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Timothy (Tim) Donahue, Vanguard Ira Gluck, FINRA Advertising Regulation Kate Macchia, ACA Foreside</p>
2:30 p.m. – 2:45 p.m.	Networking Break
2:45 p.m. – 3:45 p.m.	▶ <b>Concurrent Sessions III</b>
	<p>▶ <b>Ad Review Workshop</b></p> <p>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><b>Moderator:</b> Anthony Maher, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Thomas (Tom) Dineen, FINRA Advertising Regulation Timothy (Tim) Holland, FINRA Advertising Regulation Kristina Shaw, FINRA Advertising Regulation</p>
	<p>▶ <b>Exempt Offerings</b></p> <p>This session focuses on industry and regulatory developments related to Reg D and Reg A+ offerings. During the session, panelists discuss common concerns and recent regulatory findings. Speakers provide practical information and effective practices for firms offering these products to retail investors and discuss Regulatory Notices 20-21 and 21-26.</p> <p><b>Moderator:</b> Kimberly Flanders, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Crissy Escamilla, FINRA Advertising Regulation Krista Harvey, CFA, CIPM, CFA Institute Cameron (Cam) Hellewell, Orchard Securities, LLC Minh Le, FINRA Corporate Financing</p>
3:45 p.m. – 4:00 p.m.	Networking Break



#### OFFICE HOURS

Office Hours are available for in-person attendees. FINRA staff members are available throughout the conference to discuss firm-specific questions.



**ALL SESSIONS  
ARE BEING  
RECORDED**

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4:00 p.m. – 5:00 p.m.	<p>▶ <b>Plenary Session III: Ask Advertising Regulation Senior Staff</b></p> <p>Join senior staff in FINRA’s Advertising Regulation Department to hear how to navigate current developments in FINRA’s communications rules and industry marketing practices including mobile apps, social media, and other digital channels. Panelists answer questions on how to embrace the future of communications while remaining compliant.</p> <p><b>Moderator:</b> Joseph (Joe) Price, FINRA Corporate Financing &amp; Advertising Regulation</p> <p><b>Panelists:</b> Pramit Das, FINRA Advertising Regulation Ira Gluck, FINRA Advertising Regulation Joseph (Joe) Savage, FINRA Office of General Counsel Amy Sochard, FINRA Advertising Regulation</p>
5:00 p.m. – 6:30 p.m.	Networking Reception

<b>Friday, October 21</b>	
7:30 a.m. – 12:00 p.m.	<ul style="list-style-type: none"> <li>• Registration</li> <li>• Office Hours</li> <li>• Advertising Regulation Technology Demonstrations</li> </ul>
7:30 a.m. – 8:30 a.m.	Continental Networking Breakfast
8:45 a.m. – 9:30 a.m.	<p>▶ <b>Plenary Session IV: Findings From the FINRA Foundation’s Recently Released Study on Financial Capability in the United States</b></p> <p>Join FINRA staff and the FINRA Foundation researchers as they discuss the latest national study by the FINRA Foundation. Presenters explain the study findings including that U.S. adults generally fared better in 2021 than in the decade leading up to the pandemic.</p> <p><b>Moderator:</b> Amy Sochard, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Gary Mottola, FINRA Investor Education Foundation Olivia Valdes, FINRA Investor Education Foundation</p>
9:30 a.m. – 9:45 a.m.	Networking Break
9:45 a.m. – 10:45 a.m.	<p>▶ <b>Concurrent Sessions IV</b></p> <p>▶ <b>Digital Communications and Social Media</b></p> <p>In the rapidly developing world of digital marketing, how can firms stay in compliance? Can firms communicate relevant, meaningful information in the digital age? Attend this session to experience how industry and regulatory experts are grappling with these challenges. The panel covers current topics including how firms engage technology to address their compliance obligations and creative ways to use effective disclosure.</p> <p><b>Moderator:</b> Stephanie Gregory, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Surabhi Ahmad, Ameriprise Financial Services, LLC Stephen Bard, Wells Fargo Wealth and Investment Management Nancy Damiano, FINRA Advertising Regulation</p>



	<p>▶ <b>Ad Review Workshop</b></p> <p>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><b>Moderator:</b> Anthony Maher, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Thomas (Tom) Dineen, FINRA Advertising Regulation Timothy (Tim) Holland, FINRA Advertising Regulation Kristina Shaw, FINRA Advertising Regulation</p>
10:45 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 12:00 p.m.	▶ <b>Concurrent Session V</b>
	<p>▶ <b>Variable Products &amp; Retirement Planning</b></p> <p>Join FINRA staff and industry practitioners as they discuss variable and retirement planning productions. The panelists also explore frequently asked questions and discuss regulatory challenges.</p> <p><b>Moderator:</b> Steven (Steve) Choi, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Pramit Das, FINRA Advertising Regulation Richard Choi, Carlton Fields Ted Newton, MML Investors Services, LLC</p>
	<p>▶ <b>Back to the Future in Fixed Income Investing? Navigating a Changing Landscape in Municipal and Fixed Income Securities</b></p> <p>This session discusses the latest developments in fixed income communications compliance with FINRA, MSRB and industry experts. Panelists touch on findings from the 2022 Report on FINRA’s Examination and Risk Monitoring Program pertaining to effective practices for creating compliant municipal securities communications. Panelists also discuss compliance considerations for communications on behalf of fixed income investments in a market environment of rising interest rates.</p> <p><b>Moderator:</b> Derek Ashworth, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Johanna Anders, TIAA-CREF Kimberly Flanders, FINRA Advertising Regulation Cynthia (Cindy) Friedlander, FINRA Office of General Counsel Bri Joiner, Municipal Securities Rulemaking Board (MSRB)</p>
12:00 p.m.	Conference Adjourns



#### CONTINUING EDUCATION (CE) CREDITS

The FINRA Advertising Regulation Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup> and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits.

# Exhibitors and Registration

## Exhibitors

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

- Hearsay Systems
- Pinpoint Global Communications
- Red Oak Compliance
- RegEd
- Saifr
- SiteQuest
- Smarsh
- Softek

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email [Jeff.Arcuri@finra.org](mailto:Jeff.Arcuri@finra.org) to request a conference exhibitor package.

## Registration

### How to Register

To register, visit [www.finra.org/adreg22](http://www.finra.org/adreg22) 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 (800) 321-6273 or send an email to [conreg@finra.org](mailto: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

Full refunds for registration fees will be granted to written requests received 14 days or more prior to the start of the conference. Refunds will not be granted after October 6, 2022.

## Fees

In Person—Individual	
FINRA Member must provide valid CRD #	\$1,000
FINRA Member (Small Firm) must provide valid CRD #	\$495
Non-Member	\$1,500
Government / Regulator	\$700

In Person – Group* (Per Person)	
FINRA Member must provide valid CRD #	\$900
FINRA Member (Small Firm) must provide valid CRD #	\$370
Non-Member	\$1,300
Government / Regulator	\$500

Virtual Attendee	
FINRA Member must provide valid CRD #	\$300
FINRA Member (Group*) must provide valid CRD #	\$250
Non-Member	\$400
Non-Member (Group*)	\$350
Government / Regulator	\$200

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

## Contact Information

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



## Hotel Information

The 2022 Advertising Regulation Conference takes place at:

### **The Capital Hilton**

1001 16th Street NW  
Washington, DC 20036

## Accommodations

A room block is available at the Capital Hilton at the special room rate of \$339 per night, plus tax. The rate is available until September 28, 2022, or until the room block is sold out.

## Room Reservation Process for FINRA Programs

To reserve a room at the conference hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please contact us with any additional questions.

## 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.

## Speakers as of 9/16/2022

Name	Company
Surabhi Ahmad	Ameriprise Financial Services, LLC
James (Jim) Allen	FINRA Advertising Regulation
Johanna Anders	TIAA-CREF
Derek Ashworth	FINRA Advertising Regulation
Stephen Bard	Wells Fargo Wealth and Investment Management
Megan Callery	FINRA Advertising Regulation
Steven Choi	FINRA Advertising Regulation
Richard Choi	Carlton Fields
John Cunningham	FINRA Advertising Regulation
Nancy Damiano	FINRA Advertising Regulation
Pramit Das	FINRA Advertising Regulation
Thomas (Tom) Dineen	FINRA Advertising Regulation
Crissy Escamilla	FINRA Advertising Regulation
Kimberly Flanders	FINRA Advertising Regulation
Cynthia (Cindy) Friedlander	FINRA Office of General Counsel
Ira Gluck	FINRA Advertising Regulation
Stephanie Gregory	FINRA Advertising Regulation
Melissa Roverts Harke	U.S. Securities and Exchange Commission (SEC)
Krista Harvey, CFA, CIPM	CFA Institute
Cameron Hellewell	Orchard Securities, LLC
Suprina Hicks	FINRA Advertising Regulation
Timothy (Tim) Holland	FINRA Advertising Regulation
Bri Joiner	Municipal Securities Rulemaking Board (MSRB)
David Kim	FINRA Advertising Regulation
Minh Le	FINRA Corporate Financing
Julius Leiman-Carbia	Wealthfront Brokerage, LLC
Kate Macchia	ACA Forside
Anthony Maher	FINRA Advertising Regulation
Gary Mottola	FINRA Investor Education Foundation
Natlyn Murrain	FINRA Advertising Regulation
Ted Newton	MML Investors Services, LLC
Joseph (Joe) Price	FINRA Corporate Financing & Advertising Regulation
Joseph (Joe) Savage	FINRA Office of General Counsel

# Speakers

Name	Company
Kristina Shaw	FINRA Advertising Regulation
Amy Sochard	FINRA Advertising Regulation
Olivia Valdes	FINRA Investor Education Foundation
Caroline Waugaman	FINRA Advertising Regulation
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)