



Financial Industry Regulatory Authority

FINRA Registration and Disclosure Boot Camp Form

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

First Name		Last Name	
Phone		E-mail Address*	
Title		Firm CRD#	
Firm Name			
Business Address			
Alternate Contact Name			
Alternate Contact Phone			

***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.

CHECK BOX	DATES	FEE	LOCATION
<input type="checkbox"/>	***September 25 – 26, 2019 (8 a.m. to 4 p.m., ET, both days)	\$600*	FINRA 9509 Key West Ave. Rockville, MD 20850

NOTES:

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

***FINRA will conduct a Foundations of Web CRD/IARD class prior to this session (September –23 - 24). Click [Foundations of Web CRD/IARD](#) for more information.

BOGO Offer: Foundations of CRD Training and FINRA Registration and Disclosure Boot Camp• September 23- 26, 2019 • Rockville, MD

Attend both trainings (Foundations of CRD and FINRA Registration and Disclosure Boot Camp training) for a reduced cost of \$800.

To receive the discount, register for one of the classes. The discount code to register for the other class will be included in your email confirmation. The discount is non- transferable and only valid for one person to attend both events.

Space is limited, so register soon.

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

CREDIT CARD PAYMENT	<input type="checkbox"/> Visa	<input type="checkbox"/> MasterCard	<input type="checkbox"/> 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	<input type="checkbox"/> 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: FINRA Registration and Disclosure Boot Camp Training P.O. Box 418911 Boston, MA 02241-8911	
For Internal Use Only	
Date Received:	AMT:
REG:	PCTRANS:

NOTE: If an individual is not a “Confirmed Registrant” (i.e. you do not receive a Confirmation email), there is no guarantee that you will be able to participate in the class.

FINRA Registration and Disclosure Information and Form Instructions

Session Description

FINRA Registration and Disclosure Boot Camp Fee (\$600**) - includes 2 days of detailed and comprehensive training on reporting Disclosure-Related Events and RAD Department Hot Topics. Continental breakfast and a networking lunch will be provided. You will have the opportunity to meet one on one with Disclosure Review Analysts and other RAD Staff. Space is limited so register early.

The FINRA Registration and Disclosure Boot Camp is beneficial to those who are new to reporting Disclosure information in Web CRD or those who want to receive refresher training and reporting tips. The training will offer practical and comprehensive training on disciplinary events and hot topics in the RAD Department.

This training session is intended for compliance/registration staff of broker-dealers, investment advisers or third-party vendors with entitlement to Web CRD/IARD. If you are neither associated with a broker-dealer or investment adviser firm nor otherwise already entitled to Web CRD/IARD, please contact FINRA at webcrd@finra.org so we can better assess your specific CRD training needs.

FINRA Registration and Disclosure Boot Camp Session Topics	
	Introduction CHRI (Criminal History Record Information) Court Documents Form U4 Disclosure Reporting Form U5 Disclosure Reporting Disclosure Fees BrokerCheck Form BD Filing Tips We CRD Disclosure Navigation RAD Hot Topics

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 418911 Boston, MA 02241-8911 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 (only credit card transactions are accepted for this method). Please do **not** fax or mail a copy of this registration form if you register online.

- To register online, go to the FINRA Registration and Disclosure Boot Camp Training Web page and click on the 'REGISTER NOW' link for the session you would like to attend. Enter the information requested on the screen.

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. If an individual is not a "Confirmed Registrant" (i.e. you do not receive a Confirmation email), there is no guarantee that you will be able to participate in the class.

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 [FINRA Registration and Disclosure Boot Camp 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 FINRA Registration and Disclosure Boot Camp information** (i.e., the topics covered in the training sessions, session dates, locations, how to register, etc.) or contact webcrd@finra.org for questions.
- 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.).