



2019 FINRA

Advertising Regulation Conference

October 24 – 25, 2019

Renaissance Washington, DC
Downtown Hotel

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 - Password: finra1939
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FINRA®

WELCOME

FINRA's Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced advertising professionals. Industry and Regulatory speakers will facilitate interactive, forward-looking discussions on current practices, policies, priorities and emerging regulation. This year's conference also includes opportunities to networking with industry peers and meet one-on-one with Advertising Regulation Department staff during office hours and throughout the event.



Set Up Wi-Fi Access

Network: **Renaissance_Conference**

Wi-Fi Code: **finra1939**

Download the Conference App

Download the FINRA Advertising Regulation Conference app for access to all event materials—including session presentations, handouts and session descriptions. See the App Tip Sheet for more information.

1. Go to the App Store on your mobile device (**Google Play Store/iTunes App Store**).
2. Search for “**FINRA’s Events**” and then download the app.
3. When the download is complete, open the app.
4. Enter your **user ID** (the email address you used to register for the conference) and **password** (finra1939).
5. Click on the “Events” icon and then select “**Advertising Regulation Conference**.”

Continuing Education (CE) Credits

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

To receive CLE/CFP CE credits, you must check in and out of each session to confirm your attendance. In the app, tap the schedule icon, select the day, choose session, and then click the check in/out icon to enter the custom code provided by the moderator and/or in the PowerPoint presentation. This year, attendees are not required to complete a CE affidavit form for CLE/CFP CE credits.

CRCP[®] designees may earn CE credit for attending the conference. Visit www.finra.org/crcp for more information and to get credit for attending.

Agenda

| Wednesday, October 23 |
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| 5:30 p.m. – 7:30 p.m. ▶ Kick Off Happy Hour with Exhibitors <i>Congressional Hall Foyer</i> |
| 5:30 p.m. – 7:30 p.m. ▶ Registration — <i>Congressional Hall Foyer</i> |
| 5:30 p.m. – 7:30 p.m. ▶ Office Hours — <i>Grand Ballroom Foyer</i> |

| Thursday, October 24 |
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| 7:30 a.m. – 5:30 p.m. ▶ Registration – <i>Congressional Hall Foyer</i> |
| 7:30 a.m. – 5:30 p.m. ▶ Office Hours – <i>Grand Ballroom Foyer</i> |
| 7:30 a.m. – 5:30 p.m. ▶ AREF Demonstrations – <i>Lafayette Room</i> |
| 7:30 a.m. – 5:30 p.m. ▶ FINRA Innovation and Business Zone <i>Grand Ballroom Foyer</i> |
| 7:30 a.m. – 10:00 a.m. ▶ Continental Networking Breakfast <i>Congressional Hall Foyer</i> |
| 9:00 a.m. – 9:45 a.m. ▶ Networking Icebreaker — <i>Congressional Hall A&B</i> |
| 10:00 a.m. – 10:05 a.m. Plenary Session I |
| ▶ Plenary Session I—Welcome Remarks 📺 <i>Grand Ballroom North and Central</i> Speaker: Thomas (Tom) Pappas, <i>FINRA Advertising Regulation</i> |
| 10:05 a.m. – 11:15 a.m. Plenary Session II |
| ▶ Plenary Session II—Regulation Best Interest and Current Developments 📺 <i>Grand Ballroom North and Central</i> |
| 11:15 a.m. – 11:30 a.m. Networking Break <i>Grand Ballroom and Congressional Hall Foyers</i> |

| 11:30 a.m. – 12:30 p.m. Concurrent Sessions I |
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| ▶ Advertising Compliance Boot Camp: Fundamentals of FINRA Rule 2210 📺 – <i>Grand Ballroom North and Central</i> |
| ▶ Investment Company Topics – <i>Grand Ballroom South</i> |
| ▶ Private Placements, Digital Assets & Alternative Investments – <i>Congressional Hall A&B</i> |
| 12:30 p.m. – 1:30 p.m. ▶ Networking Lunch – <i>Renaissance Ballroom</i> |
| 1:30 p.m. – 1:45 p.m. ▶ Dessert With Exhibitors – <i>Grand Ballroom and Congressional Hall Foyers</i> |
| 1:45 p.m. – 2:45 p.m. Concurrent Sessions II |
| ▶ General Brokerage and Supervision <i>Grand Ballroom South</i> |
| ▶ Investment Company Topics 📺 (Repeat Session) <i>Grand Ballroom North and Central</i> |
| ▶ Advertising Compliance Boot Camp: Select Topics <i>Congressional Hall A&B</i> |
| 2:45 p.m. – 3:00 p.m. ▶ Networking Break – <i>Grand Ballroom and Congressional Hall Foyers</i> |
| 3:00 p.m. – 4:00 p.m. Concurrent Sessions III |
| ▶ Variable Insurance Products – Regulatory Overview and New Developments – <i>Grand Ballroom South</i> |
| ▶ General Brokerage and Supervision 📺 (Repeat Session) – <i>Grand Ballroom North and Central</i> |
| ▶ Advertising Review Workshop – <i>Congressional Hall A&B</i> |
| 4:00 p.m. – 4:15 p.m. ▶ Networking Break – <i>Grand Ballroom and Congressional Hall Foyers</i> |

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| 4:15 p.m. – 5:00 p.m. Plenary Session III |
| ▶ Plenary Session III – Investor Education and Financial Capabilities 📺 – <i>Grand Ballroom North and Central</i> |
| 5:00 p.m. – 6:30 p.m. |
| ▶ Networking Reception – <i>Grand Ballroom and Congressional Hall Foyers</i> |

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| Friday, October 25 |
| 7:30 a.m. – 12:00 p.m. |
| ▶ Registration – <i>Congressional Hall Foyer</i> |
| 7:30 a.m. – 12:00 p.m. |
| ▶ Office Hours – <i>Grand Ballroom Foyer</i> |
| 7:30 a.m. – 12:00 p.m. |
| ▶ AREF Demonstrations – <i>Lafayette Room</i> |
| 7:30 a.m. – 12:00 p.m. |
| ▶ FINRA Innovation and Business Zone <i>Grand Ballroom Foyer</i> |
| 7:30 a.m. – 8:30 a.m. |
| ▶ Continental Networking Breakfast <i>Congressional Hall Foyer</i> |
| 8:30 a.m. – 9:30 a.m. Plenary Session IV |
| ▶ Plenary Session IV – Disclosure Innovations and Digital Marketing Compliance 📺 <i>Grand Ballroom North and Central</i> |
| 9:30 a.m. – 9:45 a.m. |
| ▶ Networking Break <i>Grand Ballroom and Congressional Hall Foyers</i> |
| 9:45 a.m. – 10:45 a.m. Concurrent Sessions IV |
| 9:45 a.m. – 10:45 a.m. |
| ▶ RegTech in Advertising Compliance and Beyond <i>Grand Ballroom North and Central</i> |
| ▶ Sales Practice a Case Study Approach <i>Congressional Hall A&B</i> |

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| 10:45 a.m. – 11:00 a.m. |
| ▶ Networking Break <i>Grand Ballroom and Congressional Hall Foyers</i> |
| 11:00 a.m. – 12:00 p.m. Concurrent Sessions V |
| ▶ Municipal Rules and 529 Plans Updates 📺 <i>Grand Ballroom North and Central</i> |
| ▶ Advertising Review Workshop (Repeat Session) <i>Congressional Hall A&B</i> |
| 12:00 p.m. Conference Adjourns |

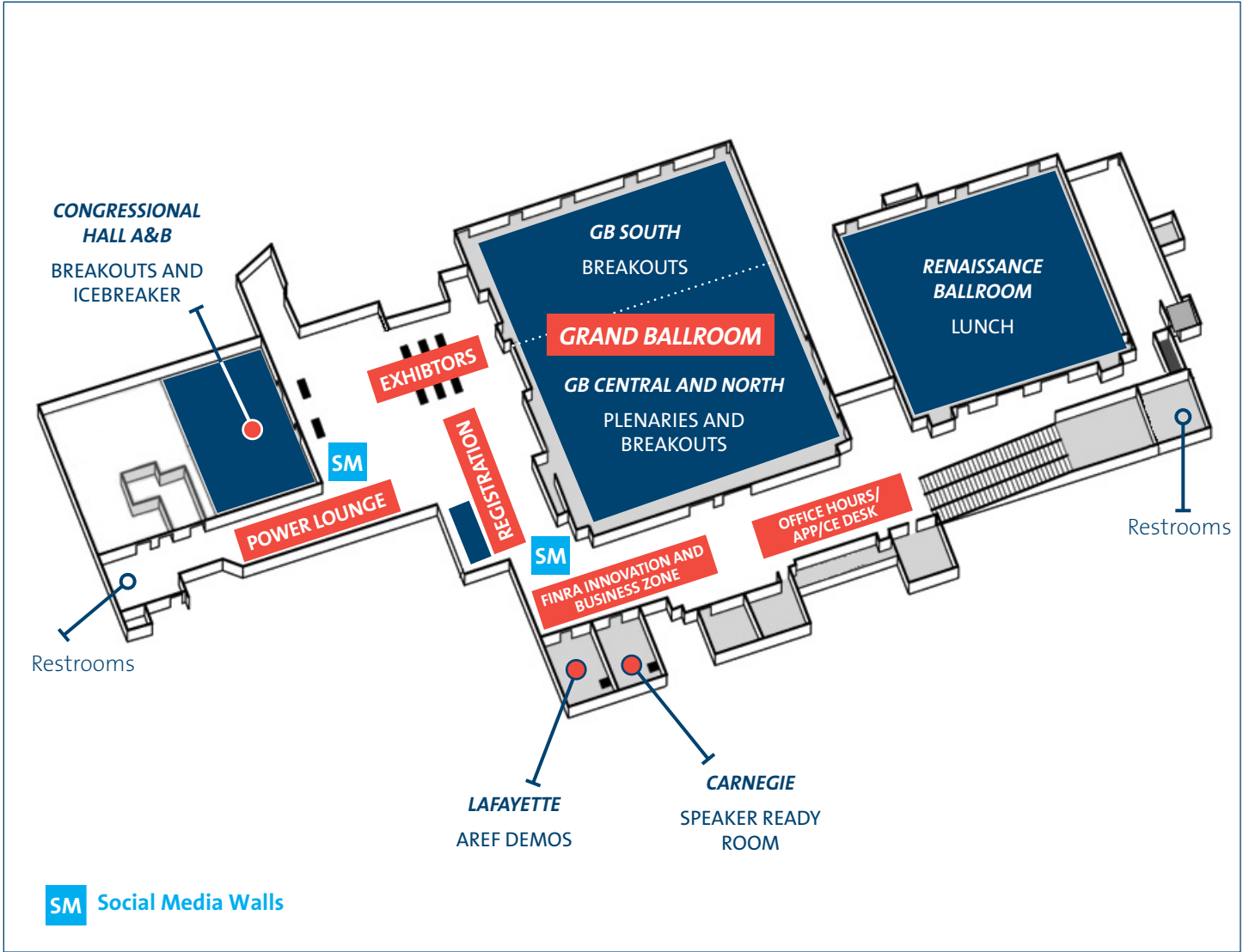
Exhibitors

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

- ▶ ACA Compliance Group
- ▶ Foreside
- ▶ Hearsay Corp
- ▶ National Regulatory Services (NRS)
- ▶ Red Marker
- ▶ Red Oak Compliance Solutions, LLC
- ▶ RegEd
- ▶ SiteQuest
- ▶ Smarsh

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| Business Model—Ribbon Key |
| Use the key below to network with other attendees with similar business models. |
| <div> <div></div> <div>Retail</div> </div> <div> <div></div> <div>Retail—Independent Contractor</div> </div> <div> <div></div> <div>Institutional</div> </div> <div> <div></div> <div>Insurance Affiliate</div> </div> <div> <div></div> <div>Private Placement/Mergers and Acquisitions</div> </div> <div> <div></div> <div>Fixed Income</div> </div> <div> <div></div> <div>Clearing</div> </div> |

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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 Desk at the conference. You can ask specific questions, discuss topics raised during the conference, or get to know your firm’s assigned analyst.

| WEDNESDAY, OCTOBER 23 | TABLE 1 | TABLE 2 | TABLE 3 | TABLE 4 | TABLE 5 |
|-----------------------|----------------|-------------|--------------------------|----------------|---------|
| 5:30 p.m. — 7:30 p.m. | Wayne Louviere | Mark Bleich | Jeffrey (Jeff) Salisbury | Natlyn Murrain | |

| THURSDAY, OCTOBER 24 | TABLE 1 | TABLE 2 | TABLE 3 | TABLE 4 | TABLE 5 |
|-------------------------|--------------------------|-------------------------|--------------------------|------------------------|-----------------------|
| 7:30 a.m. — 8:00 a.m. | Wayne Louviere | Mark Bleich | Jeffrey (Jeff) Salisbury | Natlyn Murrain | |
| 8:00 a.m. — 9:00 a.m. | Derek Ashworth | Joseph (Joe) George | Nicole Cashaw | Timothy (Tim) Dennis | Timothy (Tim) Holland |
| 9:00 a.m. — 10:00 a.m. | J. Martin (Marty) Levine | Steven Choi | Thomas (Tom) Dineen | Meredith Mesa | |
| 11:15 a.m. — 12:00 p.m. | Pramit Das | Susan Kole | Jeffrey (Jeff) Salisbury | Evan Spevak | Meredith Mesa |
| 12:00 p.m. — 1:00 p.m. | J. Martin (Marty) Levine | Theodora (Theo) Richter | Nicole Cashaw | Bradley (Brad) Raymond | Michael Berkovich |
| 1:00 p.m. — 2:00 p.m. | Cathy Siewick | Timothy (Tim) Holland | John Cunningham | Kristina Shaw | David Kim |
| 2:00 p.m. — 3:00 p.m. | Timothy (Tim) Dennis | Caroline Waugaman | Evan Spevak | Bradley (Brad) Raymond | |
| 3:00 p.m. — 4:00 p.m. | Rebecca Knutson | Theodora (Theo) Richter | Mark Smith | Michael Berkovich | |
| 4:00 p.m. — 5:00 p.m. | Ira Gluck | Cathy Siewick | Thomas (Tom) Dineen | Kristina Shaw | David Kim |

| FRIDAY, OCTOBER 25 | TABLE 1 | TABLE 2 | TABLE 3 | TABLE 4 | TABLE 5 |
|-------------------------|------------------|--------------------------|-------------------|-------------------|---------------------|
| 7:30 a.m. — 8:00 a.m. | Steven O’Mara | Anthony Maher | Kimberly Flanders | | |
| 8:00 a.m. — 9:00 a.m. | Jessica Polhamus | John Cunningham | Natlyn Murrain | Caroline Waugaman | Thomas (Tom) Dineen |
| 9:00 a.m. — 10:00 a.m. | Mark Bleich | Timothy (Tim) Dennis | Susan Kole | Mark Smith | Evan Spevak |
| 10:00 a.m. — 11:00 a.m. | Rebecca Knutson | Steven Choi | John Cunningham | Meredith Mesa | David Kim |
| 11:00 a.m. — 12:00 p.m. | Susan Kole | Jeffrey (Jeff) Salisbury | Jessica Polhamus | Michael Berkovich | Kristina Shaw |
| 12:00 p.m. — 12:30 p.m. | Wayne Louviere | Nancy Damiano | Caroline Waugaman | Natlyn Murrain | Nicole Cashaw |



Investor protection. Market integrity.

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