



2019 Advertising Regulation Conference

October 24—25 | Washington, DC

FINRA Innovation and Business Zone Booths Descriptions

Continuing Education (CE) Transformation and Securities Industry Essentials® (SIE®) Exam / Principal Exam Restructuring

Visit with FINRA's Testing and Continuing Education staff to learn about CE Transformation, the SIE exam, SIE exam academic outreach activities and principal exam restructuring. CE Transformation seeks to provide timely and registration-focused Regulatory Element training, increased cohesion between Regulatory and Firm Element programs and a centralized content catalog that firms may leverage for their training needs. We are also considering a qualification maintenance program to allow previously registered individuals to maintain their qualification status after terminating their registrations. In addition, visitors can inquire about qualification exams and plans for principal-level exam restructuring.

FINRA Website Redesign and Rulebook Consolidation

See the improved FINRA.org. Highlights of the new site include improved search functionality, full integration of the FINRA rulebook, streamlined navigation and a modern design. Users browsing the site will find easy access to guidance, FAQs, Notices and other content. The entire site can be browsed and searched by key topics including Advertising Regulation.

Firm Compliance Resources

Participate in new firm resource demonstrations and learn about helpful tools FINRA is developing to assist with your compliance requirements. FINRA staff will be available to demonstrate firm resources, including the new Preferred Pricing Program, which displays vendors that offer information archive services to firms at a discount; the Peer-2-Peer Compliance Library; and enhanced versions of the Compliance Calendar, Cybersecurity Checklist, Firm Gateway, and other resources designed to assist member firms' compliance with FINRA rules and regulations.

Office of Financial Innovation (OFI)

Meet with the Office of Financial Innovation staff to hear about financial innovations by FINRA member firms, particularly new uses of Financial Technology (FinTech).