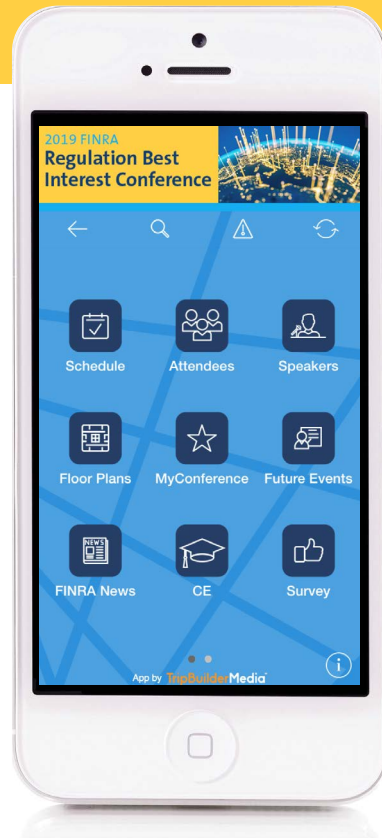


## APP INFORMATION

### Regulation Best Interest Conference App

Registered attendees are granted access to the Regulation Best Interest Conference app.

All materials—including session presentations, handouts and the conference schedule—are available through the app.

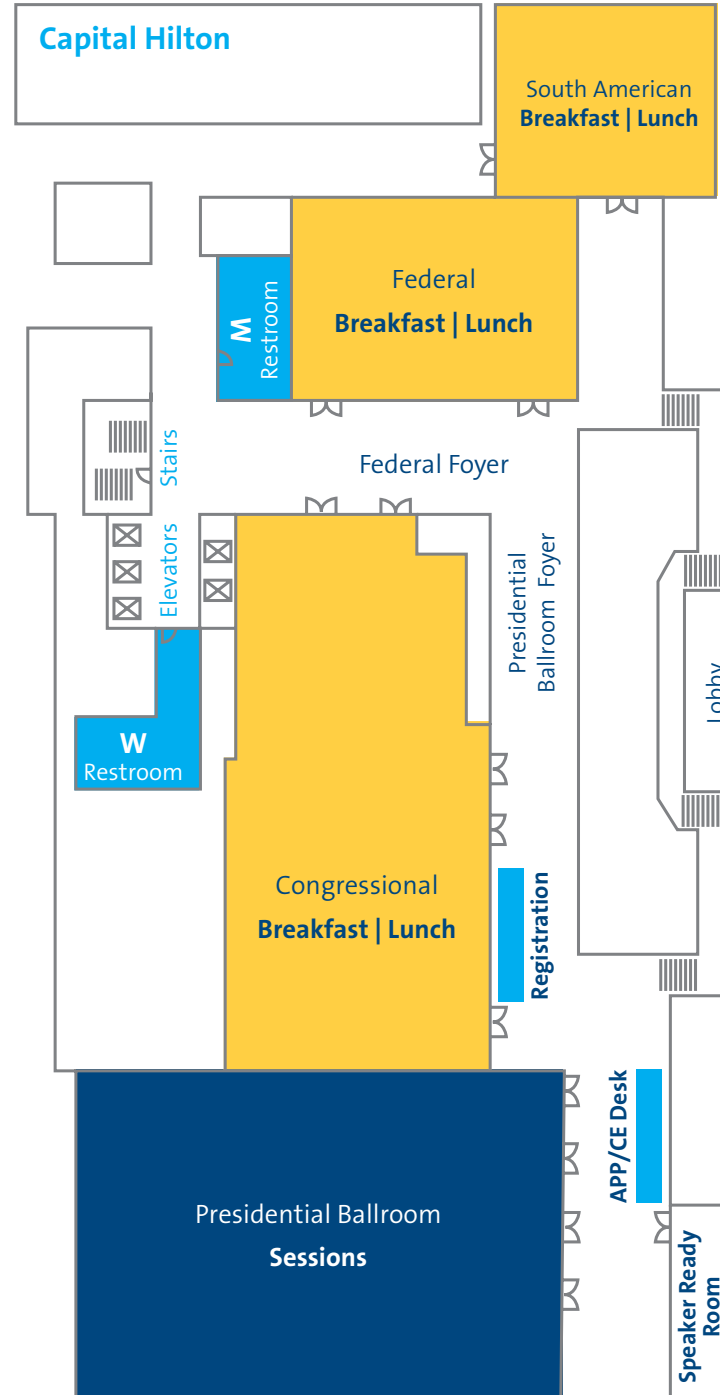


### Download the Conference App

Download the FINRA Regulation Best Interest 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**” in the store and 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). If you have previously logged into the app and changed your password, the same password will apply.
5. Click on the “**Events**” icon and then select “**Regulation Best Interest Conference.**”

## CONFERENCE MAP



## 2019 FINRA Regulation Best Interest Conference

December 18, 2019  
Washington, DC

- ▶ Agenda
- ▶ Wi-Fi Code Access
  - Network: FINRA Conference
  - Password: finra1939
- ▶ App Information
- ▶ Continuing Education (CE) Credit Information
- ▶ Conference Map
- ▶ and more

**FINRA**®

WELCOME



FINRA’s Regulation Best Interest Conference is a one-day event designed to bring regulators, executives and industry practitioners together to learn more about Regulation Best Interest (Reg BI).

Featured Fireside Chat Speakers



Robert (Bob) Colby

FINRA

Peter (Pete) Driscoll

SEC

Dalia Blass

SEC

Brett Redfearn

SEC

Digital Experience Transformation (DXT) Demonstration

DXT is a multi-year effort to integrate and simplify brokerage firms’ digital interactions with FINRA, facilitating more efficient and effective compliance programs.

AGENDA

Wednesday, December 18		
8:00 a.m. — 4:45 p.m.	Registration	
8:00 a.m. — 9:00 a.m.	Networking Breakfast	
9:00 a.m. — 9:05 a.m.	Welcome Remarks	
9:05 a.m. — 10:00 a.m.	Regulation Best Interest: Understanding Your Disclosure, Standard of Care, Conflicts of Interest and Compliance Obligations	
10:00 a.m. — 10:15 a.m.	Networking Break	
10:15 a.m. — 11:00 a.m.	Form CRS: What You Need to Know	
11:00 a.m. — 11:15 a.m.	Networking Break	
11:15 a.m. — 12:15 p.m.	Issues for Dual Registrants	
12:15 p.m. — 1:15 p.m.	Networking Lunch	
1:15 p.m. — 2:15 p.m.	How Will Reg BI and Form CRS Affect Your Interactions With Clients?	
2:15 p.m. — 2:30 p.m.	Networking Break	
2:30 p.m. — 3:30 p.m.	Fireside Chat	
3:30 p.m. — 3:45 p.m.	Networking Break	
3:45 p.m. — 4:40 p.m.	A Conversation With FINRA Examiners and the SEC’s Office of Compliance Inspections and Examinations	
4:40 p.m. — 4:45 p.m.	Closing Remarks	
4:45 p.m.	Conference Adjourns	

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup>, and Certified Financial Planner (CFP) continuing education (CE) credits – plus a Continuing Legal Education (CLE) CE voucher.




Stop by the App/CE desk in the Presidential Ballroom Foyer to receive your CLE voucher.

APP TIP SHEET

Regulation Best Interest Conference App

Registered attendees are granted access to the app. All materials—including session presentations, handouts and the event schedule—are all available through it.

Within the app, you can navigate the event venue, complete the survey and network with other attendees.

- **Schedule:** See the full event schedule and browse sessions and events by date and time. Select a specific session to access the session description, speaker information and associated materials; ask session-specific questions; participate in polling; and take notes.
- **Attendees:** Search for a specific person or sort the entire attendee list by name or company. Email other attendees using the “Let’s Meet” or “Email” icons on the attendee’s details page.
- **MyConference:** Mark sessions, attendees, etc., as favorites by tapping the “○” (iPhone) or “□” (Android) icon next to each name. From MyConference, you can view your personalized schedule, contacts and your notes. You can email these items to yourself by tapping the “Export” button in the upper right corner, then selecting the items to export, next tapping “Send” and then entering your email address.

Business Model Ribbon Key

- Use the key to network with other Regulation Best Interest Conference attendees with similar business models.
- Clearing

Fixed Income

Institutional

Insurance Affiliate

Private Placement / M&A

Retail

Retail—Independent Contractor