



## RegTech Conference FAQs

### General

**Q:** What is the dress code for the conference?

**A:** The dress code for the conference is business. **Please note:** session room temperature will vary; we recommend that you wear layered clothing to ensure your personal comfort.

**Q:** Where is Registration?

**A:** Registration is located in the Gotham Ballroom Foyer.

**Q:** Are there restaurants located within walking distance of the hotel?

**A:** The app has a Local Guide, which will show you restaurants that are close to the conference location.

**Q:** I left a personal belonging at a session, is there a lost and found?

**A:** The registration desk will have a lost and found. Attendees can also check with the Hotel Security.

**Q:** Is wireless internet available?

**A:** Yes, we have set up wireless access at the hotel.

- The wireless network name: **IC\_TimesSquare\_Conference** password: **finra1939**
- If you need assistance setting up the Wi-Fi on your mobile device, please visit the App/CE desk.

**Q:** Is a copy of the attendee list available?

**A:** The attendee list can be found inside the app.

### Materials

**Q:** Will I receive a hard copy workbook for the conference?

**A:** No, all materials will be available through the app or on the [materials webpage](#). The materials will be available in advance of the conference if you wish to print them out.

**Q:** What is the RegTech Conference Materials webpage link?

**A:** Click here to access the [RegTech Conference materials webpage](#).

**Q:** Will there be presentation handouts provided onsite?

**A:** Handouts will not be provided onsite, if you wish to print out materials please do so prior to arriving. Session materials are accessible on the FINRA [Materials webpage](#) and on the conference app.

### Continuing Education (CE)

**Q:** Are Continuing Education Credits offered?

**A:** Yes, CFP (Certified Financial Planner) and CRCP® (Certified Regulatory Compliance Professional)® Program CE credits are offered for the RegTech Conference. CLE (Continuing Legal Education) credits can be obtained through a voucher. See the [CE grid](#) for additional information.

**Q:** What is the process for receiving CFP CE credits?

**A:** Prior to attending – provide the last four digits of your SSN and your CFP Board ID in CVENT. During the registration process, stop by the registration desk to review if your SSN and CFP Board ID are in your conference profile.

**Note:** After January 31, 2019: If an attendee fails to provide FINRA with the last four digits of their SSN and their CFP Board ID by **January 31**, the attendee will be responsible for reporting their CE directly to the CFP Board.

The RegTech Conference is approved for five (5) CFP CE General Credits.

**Q:** What is the process for receiving a CLE CE Voucher?

**A:** CLE credit is not given for attending this forum; however, CLE attendees will receive CE **vouchers**. CLE CE vouchers are available at the App/CE desk. The voucher is good for taking online courses for five (5) CLE CE credits through National Academy of Continuing Legal Education (NACLE).

**Note:** Voucher cards are for the specific person to whom they were awarded. The URL directs participants to a custom-build Web page, where National Academy of Continuing Legal Education (NACLE) will deliver the courses for CLE credit. All code redemptions are tracked.

**Also note:** You will need to provide your bar number and states you are requesting CLE in.

**Q:** What is the process for receiving CRCP® CE credits?

**A:** In order to earn your 5.5 CRCP CE credits, please report your attendance through the new CRCP CE Reporting System:

- Click on this link: <https://crcp.finra.org> to access the CRCP CE Reporting System.
- Use your FINRA CRCP Account username and password to log in.
- Click on the “My Credits” tab and select the Report Credit button.
- Type the name of the course into the Class Name field and select the appropriate class from the selection that appears at the bottom of the screen.
- Type in the date you completed the class.
- Click the Save button.

**Q:** Do you want to learn more about the CRCP program?

**A:** [Click here to view brochure](#).

## **App**

**Q:** Where can I get more information and help with the app?

**A:** Please visit the App/CE Desk in the Gotham Ballroom Foyer for answers to questions.

**Q:** What is my username for the app?

**A:** The email address you registered for the conference with is your username.

**Q:** What is my password for the app?

**A:** The password is "finra1939" (case sensitive). If you have previously changed or need to change your password, please use the “Reset Password” link located on the login screen.

**Q:** How do I ask a question during a session through the app?

**A:** To ask a session panel a question through the app:

- Tap the “Schedule” icon and select the session.
- At the top of the screen, tap the “Ask” button.
- An email draft will pop up where you can type your question and tap “Send” in the upper right.

**Q:** How do I participate in polling through the app?

**A:** To use polling through the app:

- Tap the “Schedule” icon and select the session.
- At the top of the screen, tap the “Polling” button.

**Q:** If I ask a question during a session and the panel does not answer it, how can I get an answer to the question?

**A:** The panels will do their best to answer all questions during their sessions. If your question is not answered, you can try to ask the panel after their session ends. You can also email questions to [memberrelations@finra.org](mailto:memberrelations@finra.org).

**Q:** How long after the conference will I be able to access the app and materials?

**A:** Materials will be available for one year after the conference. If you remove the app from your device before you download your notes or materials, you will lose them.

**Q:** Can I print my schedule, notes or lists?

**A:** To email yourself a printable Excel file of your MySchedule, MyNotes, or any lists in your MyConference folder:

- Tap on the “MyConference” icon.
- Tap the “Export” icon (on phone) or “Share” button (on iPad or HTML version) in the top right corner of the MyConference” listing page.
- Select the sections you would like to export.
- Tap “Send.”
- An email draft will appear. Enter the email address where you would like the information to be sent.
- All Exported data will be delivered to your inbox as a printable excel attachment.

**Q:** How do I access or download the materials / handouts from each session?

**A:** To email yourself a copy of the session’s materials:

- Tap the “Schedule” icon and select the session.
- Tap the “Handouts” button.
- From there, you can open the materials separately to view on your device or select the “Share” button in the top right corner of the page.
- An email draft will appear. Enter the email address where you would like the materials to be sent.
- Select the materials you would like sent to your email, then tap the “Send” button at the top of the screen.

**Q:** Will MySchedule and MyNotes sync to multiple devices?

**A:** Yes, if you have the app downloaded on multiple devices, your saved MyConference information will sync to your other devices.

**Q:** How do I know if there have been updates to the app?

**A:** If the app has updates, you will see a red “sync” icon in the top right hand corner of the app. Just tap on the red “sync” icon to update your app.

**Q:** Where can I find FINRA reports concerning FINRA360 and other topics?

**A:** The FINRA News icon is where you can find FINRA-specific news, reports and updates.

## **Other Information**

**Q:** What is FINRA’s Privacy Policy?

**A:** FINRA authorizes use of, and access to, the event information in the app by sending a link to the email you used to register for the event. FINRA uses your email address as a user ID in the app and does not share, sell or use your email address for commercial purposes. Your name, title and company provided during the registration process will be made available to event attendees via the conference directory / attendee list.

**Q:** Do you want to learn more about FINRA’s upcoming conferences?

**A:** Mark your calendar and be sure to note the deadlines for early registration discounts.

- **2019 FINRA Annual Conference – May 15-17, 2019 | Washington, DC**

FINRA's premier educational event – The Annual Conference provides the opportunity for practitioners, peers and regulators to exchange ideas on today's most timely compliance and regulatory topics. The conference offers industry professionals a variety of sessions related to current trends in technology, cybersecurity, risk management and much more.

- **2019 FINRA Small Firm Conference – October 23-24, 2019 | Santa Monica, CA**  
The Small Firm Conference focuses on small firms' practices and tips for complying with FINRA rules. Throughout the event, attendees have the opportunity to discuss small firm issues with FINRA senior staff.
- **2019 FINRA Advertising Regulation Conference – October 24-25, 2019 | Washington, DC**  
The Advertising Regulation Conference provides a forum to hear practical guidance on complying with advertising and communication rules. This year's conference includes opportunities to network with industry peers and meet one-on-one with the FINRA Advertising Regulation Department staff.