

FINRA Office of Hearing Officers

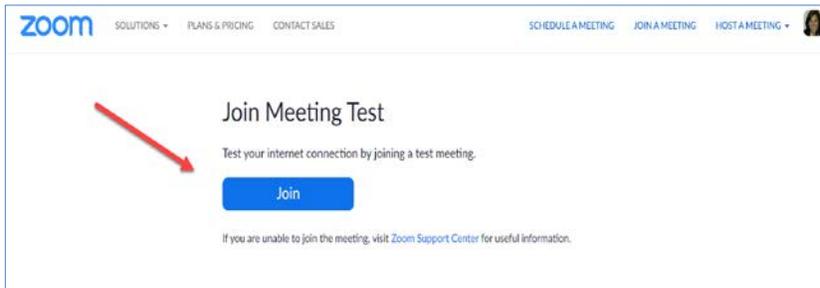
Virtual Disciplinary Hearing Guide for Parties Utilizing ZOOM¹

1. Use a PC, laptop or large tablet for the video portion of the hearing as monitor size will be important, particularly for hearings with many participants.
2. The device/screen you are using to participate in the virtual hearing will not be available for other purposes, such as taking notes or viewing documents; arrange for alternate means of doing so.
 - a. Use of dual monitors (or a monitor attached to a laptop) is recommended, with Zoom running on one screen.
3. Disable any pop-up notifications within applications such as Outlook and Skype to prevent these from appearing onscreen while presenting.
4. Use a good quality webcam if possible, and check lighting conditions in advance of the hearing.
5. Audio considerations:
 - a. Audio quality can be affected by a variety of factors. Experiment in advance of the virtual hearing to determine the best way to connect, whether by phone, through your computer speakers/microphone, and with or without a headset. Try to determine your best method prior to the scheduled event.
 - b. If there are multiple participants in the same physical location, there may be an echo if their microphones/phones are not muted (this is highly dependent on the equipment being used but is obvious when it occurs). Be prepared to mute your microphone/phone if necessary.
 - c. Find a quiet location.
 - Minimize background noise.
 - Mute yourself whenever you are not speaking.
 - Take notes quietly if not muted. If necessary, take notes on paper as opposed to using a keyboard.
 - Avoid multi-tasking during the virtual hearing. For example, do not check email or read unrelated documents during the hearing.
6. Consider steps that may be taken in advance of the hearing to establish a high-speed internet connection (e.g., if possible, a hard-wired internet connection is generally preferable to a wireless internet connection).
 - a. Recognize that much of the technology infrastructure involved in a virtual hearing is not within FINRA's control.
 - b. Arrange for a "lower technology" backup alternative such as an audio-only conference.

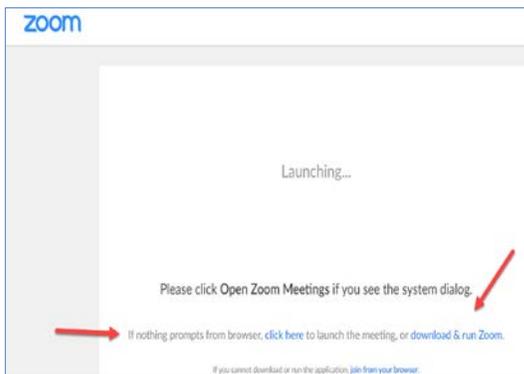
¹ FINRA has approved ZOOM as a secure platform to hold hearings.

Zoom Technical Support

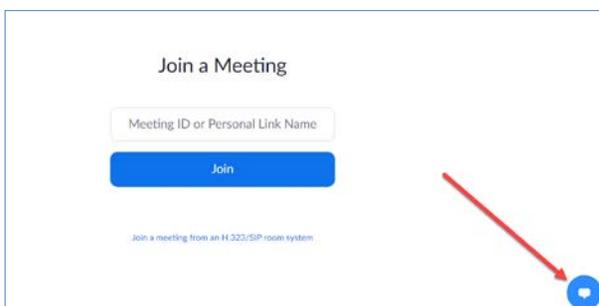
1. Zoom hardware test is available here: <https://zoom.us/test>



After you click “Join” you will see this screen. The invitation should launch the meeting once you click Join. Note: If nothing prompts from the browser, click the link to manually launch meeting, or download & Run Zoom. (See arrows below)



2. Still having trouble? You can contact Zoom technical support here: <https://support.zoom.us/hc/en-us>.
3. You can also use the Zoom Support by Chat:
 - a. Zoom support is available whenever you are logged into a Zoom account at [Zoom.us](https://zoom.us).
 - b. Go to “Help” at the bottom right.
 - c. Click the “Live Chat” button.



4. Or contact the Office of Hearing Officers, Case Administrator, Ashley-Rose Harris, 202-728-8003 or Ashley.Harris@finra.org.

Virtual Hearing Security Considerations

1. Participants should attend from a private location and via a trusted internet connection. Participants should not attend from public locations or in circumstances where non-invitees could hear or see the proceedings.
2. Participants must provide the host (the Office of Hearing Officers) with the list of participants (including witnesses) and their email addresses for the purpose of inviting them to the virtual hearing.
 - a. Participants may not forward or share the hearing invitation.
 - b. Additional participants must be invited directly by the hearing host.
3. The Office of Hearing Officers will use the Waiting Room feature to prevent ex parte communication between the parties and members of the Hearing Panel prior to the start of the virtual hearing.
4. As indicated in the Protective Order Governing Personal Confidential Information issued in the proceeding, the parties must avoid sharing personal confidential information and limit its use in this proceeding.