



2022 Annual Conference

May 16 –18 | Washington, DC | Hybrid Event

FINRA Annual Conference FAQs | In-Person Attendees

General Questions

Q: What is the dress code for the conference?

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

Q: Where is Registration?

A: Registration is located in the Georgetown room, level 1.

Q: What Metro stops are close to the hotel?

A: (1) Mount Vernon Square / 7th Street Convention Center (Green/Yellow lines) is a 7-minute walk from the hotel, (2) Gallery Place/Chinatown (Green/Yellow/Red Lines) is a 10-minute walk from the hotel and (3) Metro Center (Blue/Orange/Red/Silver Lines) is a 10-minute walk from the hotel.

Q: Is my parking validated?

A: Parking is not validated for attendees at the conference.

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

A: The app has a Local Guide, which will connect you to the states Convention and Visitor Bureau (CVB) site and will have restaurant options that are close to the conference location.

Q: Where is the nearest Starbucks?

A: In the lobby of the hotel.

Q: Will printers be available for conference attendees if they need to print boarding passes, conference materials, etc.?

A: Printers are available in the lobby of the Marriott Marquis.

Q: Where are the restrooms?

A: Please use the interactive floor plan on the conference app to locate the restrooms or visit an information booth.

Q: Is there a mother's lounge?

A: Yes, the mother's lounge is located in the Anacostia Room, level 3.

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 in the conference space:

- The wireless network name: **FINRA Conference** password: **finra1939**
- If you need assistance setting up the Wi-Fi on your mobile device, please visit an information booth.

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

A: Please visit an Information Booths located on meeting levels 2, 3 and 4 for answers to questions.

Q: Whom should I contact if I have questions about the conference?

A: For additional questions about the conference, please contact memberrelations@finra.org.

Q: Is a copy of the attendee list available?

A: The attendee list can be found inside the app. Tap on the Attendees icon to view.

Q: Will there be a place to store my luggage before or after the conference?

A: The bell stand is the place to bring your bags. We will not have a dedicated luggage storage area in the conference space.

Q: Where are the FINRA Innovation, Demonstration & Engagement Area (IDEA) Booths?

A: The FINRA IDEA Booths – are located in the Supreme Court room, level 4: Meet with FINRA staff for live demonstrations and tips for using FINRA online tools; and connect with representatives from various FINRA departments to learn about FINRA initiatives, resources, and to provide feedback or get answers to questions.

- Certified Regulatory and Compliance Professionals (CRCP)® Program
- Compliance Tools and Resources
- Creating Value for Member Firms and investors With Data
- Cybersecurity Risks and Effective Practices
- Digital Transformation Experience: Together, We're Building the Future
- Dispute Resolution Services
- FINRA CAT, LLC
- How To Get Involved With FINRA
- Managing Individual Registration Information with FinPro
- Membership Application Program (MAP) Group
- Moving Forward with Continuing Education, Exams and Registrations
- Office of the Ombudsman

Q: What is the date and location of next year's conference?

A: The 2023 FINRA Annual Conference will be held on May 16-18, 2023, at the Marriott Marquis Washington, DC Hotel.

Networking Reception Questions

Q: Where and what time will the buses pick up attendees at the Marriott Marquis for the Smithsonian National Portrait Gallery reception? And where and what time will the buses bring attendees back to the Marriott Marquis after the reception is over?

A: The buses will pick up attendees from the rear and side lobbies of the Marriott Marquis to bring them to the Smithsonian National Portrait Gallery starting at 6:30 pm. The buses will pick up attendees from the Smithsonian National Museum of Natural History continuously until 9:00 pm.

Q: Can I walk from the Marriott Marquis to the Smithsonian National Portrait Gallery?

A: Yes, it is about a 10-minute walk to the Smithsonian National Portrait Gallery. From the hotel head south on 9th Street NW towards Massachusetts Ave. Turn left onto F Street NW, and the main entrance will be on your left. The address is 8th St. NW & F St. NW Washington, DC 20001.

Q: Is there a fee to bring a guest to the Opening Night Reception?

A: If you would like to bring a guest to the opening night reception, you may do so for an additional charge of \$110. This expense covers entrance into the museum, hors d'oeuvres, desserts and drinks. Paid guests are also entitled to attend the reception on Tuesday evening, May 17, at the conference hotel. **Note:** Guests must be 21 or older to attend.

Q: Can my guest attend the other networking receptions held at the FINRA Annual Conference?

A: Yes, if you registered your guest to attend the Smithsonian National Portrait Gallery networking event, they are also able to attend the networking event on Tuesday, May 17.

Q: How do I register a guest to attend the networking event at the Smithsonian National Portrait Gallery the day of the event?

A: You can visit the Registration Desk on meeting level 1 to register a guest the day of the Smithsonian National Portrait Gallery networking event.

Q: What are the dress codes for the networking receptions?

A: The dress code for the Smithsonian National Portrait Gallery networking event is business casual and the dress code for the Tuesday-night networking reception is business. **Note:** You must wear your nametag for admittance to the receptions.

Registration Questions

Q: If I try to check in at the hotel and there is an issue with my reservation, whom can I contact?

A: Please contact the Marriott Marquis staff.

Q: Where is the registration desk located?

A: The registration desk is located on meeting level 1 in the Georgetown room.

Q: If I do not have my confirmation email to register, how do I check in for the conference?

A: Attendees will be able to enter their first and last names to check in for the conference in Georgetown room, level 1.

Q: If I have a food allergy, how can I make sure I receive a special meal?

A: Please contact Lynn Lawhead, FINRA Meetings and Conferences at lynn.lawhead@finra.org.

Q: I have changed firms after I registered for the conference, how could I update my badge/attendance information?

A: You can update your information through Cvent (used to register for the conference) or at the registration desk while checking into the conference.

Q: Do I need to sign up to attend specific sessions during the conference?

A: No, you do not need to sign up for specific sessions during the conference.

Conference Materials Questions

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

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

Q: Will there be presentation handouts provided onsite?

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

Q: What is the Annual Conference materials webpage link?

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

Session Questions

Q: There were two sessions held at the same time that I wanted to attend, will the sessions be available after the conference so I watch what I missed?

A: Sessions will be recorded and made available after the conference.

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.
- Tap the “Q&A” button.
- A question box will pop up where you can type your question and tap “Ask your question” below the box to send your question.

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, sign up for office hours or email memberrelations@finra.org.

Continuing Education (CE) Questions

Q: Are Continuing Education Credits offered?

A: Yes, CFP (Certified Financial Planner), CLE (Continuing Legal Education) and CRCP® (Certified Regulatory Compliance Professional)® Program CE are offered for the FINRA Annual Conference.

Q: What is the process for receiving CLE CE credits?

A: Depending on your jurisdiction, the FINRA Annual Conference is eligible for CLE credit. Prior to attending – provide the State(s) and your Bar Number(s) in CVENT (during the registration process). As you attend sessions, check in for each session and enter the verification code during the session. To check in to a session, slide the check-in button (under the video on the session page) to green.

**You must check-in and enter the verification code for each session to obtain CE credit.
No credit will be granted after the conference is over.**

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). As you attend sessions, check in for each session and enter the verification word during the session. To check in to a session, slide the check-in button (under the video on the session page) to green.

**You must check-in and enter the verification code for each session to obtain CE credit.
No credit will be granted after the conference is over.**

Q: I missed checking into or out of a session; what do I do?

A: Unfortunately, you will not be able to obtain CE credit for that session. You must check in to the session and enter the verification code to get credit.

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

A: In order to earn your CRCP® CE credits, please report your attendance through the 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 the brochure.](#)

Office Hours Questions

Q: What are office hours?

A: Office Hours provide an opportunity for conference attendees to meet one-on-one with FINRA staff. Several FINRA employees will be available for to answer and discuss firm-specific questions.

Q: Where are office hours located at the conference?

A: The office hours are located in the Marquis Ballroom foyer on level 2.

Q: Where can I find the office hour’s schedule?

A: The office hours schedule can be found by tapping on Office Hours on the home screen or on the Annual Conference materials webpage.

App Questions

Q: How do I find the app?

A: iTunes & Android: Click here on your phone and it will redirect you to download the app.

Q: I don’t know my iTunes/GooglePlay password.

A: The app cannot be downloaded without your iTunes or GooglePlay password.

Q: When I try to download the app, it’s telling me there’s a charge.

A: The app is 100% free, however sometimes iTunes or GooglePlay will ask you to update the payment details associated with your iTunes or GooglePlay account.

Q: On my device, the app download won’t go through.

A: Ensure you have iOS 13.4 or higher or Android 8.0 or higher. Devices in China cannot download on Android because the PlayStore is banned.

Q: I downloaded the app, but it won’t accept my email address or password to login.

A: Make sure when you are inputting the email and password that you registered for the event with. Make sure there are no extra spaces before or after the email address as it will not let them login with the extra spaces. Have the Virtual Support person check that you are entering the correct email, and there are no typos

in the address in our system. Have them reset your password if it continues. Click the Forgot Password button and an email will be sent to you to reset your password.

Q: I have the app downloaded but it won't load – it just keeps spinning

A: Make sure you are connected to Wi-Fi. If it is still spinning, go off Wi-Fi and use cellular data to access.

Q: How Do I update my profile in the app?

A: Click into the Settings icon in the top right-hand corner to upload a profile photo and edit your information.

Q: For how long after the conference will I be able to access the conference 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: I am not getting push notifications, how do I allow them?

A: Upon downloading of the app, you need to click Allow when prompted to allow for notifications. You will also need to enable notifications by clicking the Settings icon in the top right-hand corner of the app and toggle Allow Notifications to ON.

Other Information

Q: Does the Annual Conference have a hash tag?

A: Yes! Join the conversation using #FinraAC.

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.

- 2022 FINRA Advertising Regulation Conference | October 20-21 | Washington, DC

FINRA's Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced communications compliance professionals. Industry and regulatory speakers facilitate interactive, forward-looking discussions on current practices, policies, priorities and rulemaking. The conference also provides the opportunity to network with industry peers and meet one-on-one with Advertising Regulation Department staff during office hours and throughout the event.

- 2022 FINRA Small Firm Conference | November 9-10 | 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 topics with FINRA senior staff.

Visit our [Conference & Events](#) Web page to select events and see registration details.

Q: What is FINRA's Privacy Policy?

A: FINRA is committed to protecting your privacy and to conducting business with the highest ethical standards and appropriate internal controls. By accessing or using FINRA websites or services, you voluntarily consent to the collection and use of your information as described in this privacy notice.

This privacy notice applies to information FINRA collects when you register and participate with the 2021 FINRA Annual Conference (the "Conference").

Collection of Information

"Personal Information" means any information relating to an identified or identifiable person.

We collect information, including Personal information, you provide directly to us. For example, we collect information when you directly provide it, such as when you register, use the Conference Platform, or otherwise communicate with us. The types of information we collect include your first and last name, email address, username and other contact or identifying information during your registration and participation with the Conference. We may also collect publicly available personal information and technical information, including but not limited to, our Internet Protocol (IP) address, the address of the web page you visited before using the Service, your browser type, and settings. This list is not exhaustive, and, in certain instances, we may need to collect additional data for the uses identified in this notice.

We allow third-party services to collect standard internet log information and other visitor details. This information is collected solely for analytics use and is only processed in a way which does not identify anyone.

Use of Information

We use information about you for various purposes, including:

- to understand who is attending the Conference;
- to meet your needs during the Conference;
- to communicate with you, including announcements about the event and App notifications; and
- where we have a legal or regulatory obligation to use or disclose your information.

We will not monitor, record, or store meetings, events, or chat exchanges conducted during the Conference. We also expressly prohibit you from recording any content presented by FINRA or other Annual Conference participants. See Recording Prohibited, below.

Use of Cookies

A cookie is a small file placed on the hard drive of your computer. We use cookies to enable web-based conference products and services, understand how such products and services are being used, and to improve your conference experience. Some browser settings can be set to decline cookies. However, if you select this setting some web-based conference products and services may not work properly.

Sharing of Information

To make certain services available to you, we will share your registration details, including your first name and last name, email address, entity name, and entity physical address, with some of our service partners. These include our registration and Platform providers and will include providing your registration details to sponsors and/or exhibitors. Our registration and Platform providers may use your information in ways that differ from FINRA's use and they may provide you with additional rights and choices. You may view their privacy policies here:

Cvent: <https://www.cvent.com/en/cvent-global-privacy-policy>

Meeting Play: <https://www.meetingplay.com/event-app-privacy-policy>

We also will disclose Personal information when we believe that the disclosure is required by law or regulation, including to comply with a judicial order served on us or when we receive a request from law enforcement authorities.

We do not sell your Personal information to third parties for any reason.

Retention of Information

We will not retain your Personal information for longer than necessary for the purposes set out in this notice and as required by our regulatory record-keeping obligations.

Information Security

We maintain administrative, technical, and physical safeguards, appropriate to the level of sensitivity of the data, designed to protect the information you provide through FINRA websites or other web-based services.

Recording Prohibited

Conference participants are expressly prohibited from using personal or corporate-issued devices to record, screenshot, photograph or copy meetings, events, or chat exchanges.

International Users

If you are registering for the Conference or using the Conference App from outside the United States, please be aware that you are sending information (including Personal information) to the United States. The courts, law enforcement or public authorities in the United States may be able to obtain disclosure of the data through the laws of the United States. By using FINRA websites or services, you consent to the transfer of your information to the United States, which may not offer an equivalent level of protection to that required in your country of residence, and to the processing of that information on servers located in the United States as described in this privacy notice.

Children Under the Age of 16

Our website and other web-based products or services are not intended for children under 16 years of age. We do not knowingly collect Personal information from children under 16.

Changes to this Notice

We reserve the right to modify or update this notice or other terms and conditions of use of the FINRA websites or other web-based products and services at any time by updating the relevant link. Any modifications or updates shall be effective upon posting to the FINRA website(s). This notice is in effect as of April 2021.

Contact Us

If you have any questions about this privacy notice or our privacy practices generally, please contact us at: dataprivacy@finra.org.