

2022 Advertising Regulation Conference

October 20-21, 2022 | Washington, DC | Hybrid Event

Plenary Session I: Welcome Remarks and Advertising Regulation Priorities Thursday, October 20, 2022 9:30 a.m. - 10:00 a.m.

During this session, Amy Sochard opens the conference and shares current Advertising Regulation Department priorities.

Moderator: Amy Sochard

Vice President

FINRA Advertising Regulation

Plenary Session I: Welcome Remarks and Advertising Regulation Priorities Moderator Bio:

Moderator:



Amy C. Sochard is Vice President of FINRA's Advertising Regulation Department. The department helps protect investors by ensuring members of FINRA use communications including social media, digital advertising and other marketing material that are fair, balanced, and not misleading. Ms. Sochard oversees the department's regulatory review programs and business operations, including the development of technology to facilitate the review of communications. Ms. Sochard provides expertise and policy guidance to other FINRA departments concerning FINRA, SEC, MSRB and SIPC rules pertaining to communications with the public.

She also oversees the development of new rules, published guidance, and interpretations regarding communications, and she routinely speaks at industry events on these topics. Prior to joining FINRA, Ms. Sochard worked with a real estate syndication firm in Washington, DC. She received a Bachelor's degree with distinction in English from the University of Virginia and studied poetry writing at Columbia University.



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Welcome Remarks and Advertising Regulation Priorities

Panelists

- Moderator
 - Amy Sochard, Vice President, FINRA Advertising Regulation



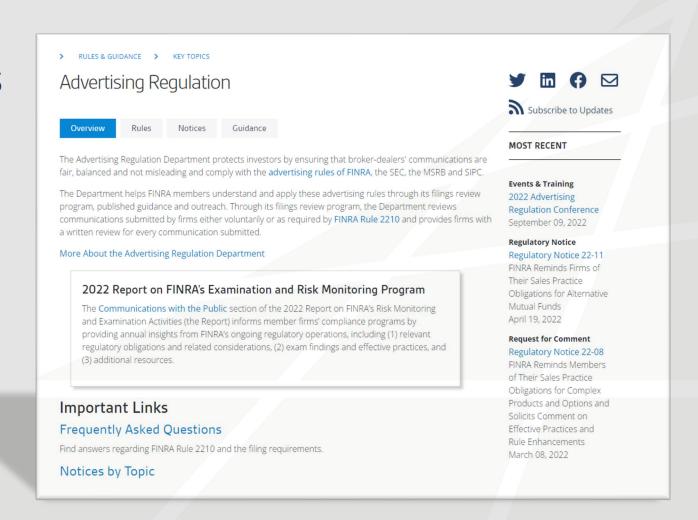
AGENDA

- 01 Welcome
- O2 Advertising Regulation Department Overview
- 03 Key Regulatory Priorities and Related Session Previews
- 04 Attendee Polls



Advertising Regulation Department Overview

- Mission
- Regulatory Programs





Regulatory Priority	Related Session Title
Rulemaking	Plenary Session II: Current Issues
Address Mobile Apps, Digital Engagement Practices and Crypto	Fintech Firms – Communications Compliance Topics
Keep Pace with Investment Company Innovation	Investment Companies Current Topics
Support New Industry Professionals	Advertising Compliance: Fundamentals of FINRA Rule 2210 <i>and</i> Advertising Compliance Bootcamp: Select Topics
Ensure Private Placements Retail Communications Compliance	Exempt Offerings
Promote Compliant Digital and Social Communications	Digital Communications and Social Media
Promote Fair Variable Products and Retirement Planning Communications	Variable Products & Retirement Planning
Seek Effective Compliance Practices in Fixed Income Advertising	Back to the Future in Fixed Income Investing? Navigating A Changing Landscape in Municipal and Fixed Income Securities



To Access Polling

- Please get your devices out:
 - Type the polling address, https://finra.cnf.io/sessions/az5s into the browser or scan the QR code with your camera.



Select your polling answers.



Poll 1: Which of the following best describes your firm's primary business line?

- a. Traditional Full-Service Broker Dealer
- **b.** Mutual Funds or ETFs
- c. Fintech or App-Based Firm
- d. Variable Insurance Products
- e. Private Placement or Alternative Investments
- f. Digital or Crypto Assets



Poll 2: Which of the following best describes the type of work you do at your firm?

- a. Compliance
- b. Legal
- c. Marketing
- d. Operations
- e. Technology
- f. Other



Poll 3: When you look for information for your own learning or education, what is your preferred medium?

- a. Search Engine
- b. Social Media
- c. Podcast
- d. Streaming Service
- e. Mobile App
- f. Traditional Website
- g. Online Learning
- h. I already know everything there is to know



Poll 4: Two Truths and a Lie

- a. Twins mom
- b. Martial artist
- c. MFA in poetry writing

