

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.

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

Welcome Remarks and Advertising Regulation Priorities

Panelists

○ Moderator

- Amy Sochard, Vice President, FINRA Advertising Regulation

AGENDA

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

Advertising Regulation Department Overview

- Mission
- Regulatory Programs

The screenshot displays the FINRA Advertising Regulation Department Overview page. At the top, there are navigation links for 'RULES & GUIDANCE' and 'KEY TOPICS'. The main heading is 'Advertising Regulation'. Below this, there are four tabs: 'Overview' (selected), 'Rules', 'Notices', and 'Guidance'. The 'Overview' tab contains two paragraphs of text. The first paragraph states that the department protects investors by ensuring fair, balanced, and not misleading communications that comply with FINRA rules, the SEC, the MSRB, and SIPC. The second paragraph explains that the department helps FINRA members understand and apply advertising rules through its filings review program, published guidance, and outreach. Below the paragraphs is a link 'More About the Advertising Regulation Department'. A highlighted box contains the title '2022 Report on FINRA's Examination and Risk Monitoring Program' and a paragraph describing the report's content. To the right of the main content, there are social media icons (Twitter, LinkedIn, Facebook, Email) and a 'Subscribe to Updates' button. Below these are two sections: 'MOST RECENT' and 'Events & Training'. The 'Events & Training' section lists the '2022 Advertising Regulation Conference' on September 09, 2022. The 'MOST RECENT' section lists 'Regulatory Notice 22-11' (FINRA Reminds Firms of Their Sales Practice Obligations for Alternative Mutual Funds) dated April 19, 2022, and 'Regulatory Notice 22-08' (FINRA Reminds Members of Their Sales Practice Obligations for Complex Products and Options and Solicits Comment on Effective Practices and Rule Enhancements) dated March 08, 2022. At the bottom of the page, there is an 'Important Links' section with links to 'Frequently Asked Questions' and 'Notices by Topic'.

> RULES & GUIDANCE > KEY TOPICS

Advertising Regulation

[Overview](#) [Rules](#) [Notices](#) [Guidance](#)

The Advertising Regulation Department protects investors by ensuring that broker-dealers' communications are fair, balanced and not misleading and comply with the [advertising rules of FINRA](#), the SEC, the MSRB and SIPC.

The Department helps FINRA members understand and apply these advertising rules through its filings review program, published guidance and outreach. Through its filings review program, the Department reviews communications submitted by firms either voluntarily or as required by [FINRA Rule 2210](#) and provides firms with a written review for every communication submitted.

[More About the Advertising Regulation Department](#)

2022 Report on FINRA's Examination and Risk Monitoring Program

The [Communications with the Public](#) section of the 2022 Report on FINRA's Risk Monitoring and Examination Activities (the Report) informs member firms' compliance programs by providing annual insights from FINRA's ongoing regulatory operations, including (1) relevant regulatory obligations and related considerations, (2) exam findings and effective practices, and (3) additional resources.

Important Links

[Frequently Asked Questions](#)

Find answers regarding FINRA Rule 2210 and the filing requirements.

[Notices by Topic](#)

Social Media & Updates

[Twitter](#) [LinkedIn](#) [Facebook](#) [Email](#)

[Subscribe to Updates](#)

MOST RECENT

Events & Training

[2022 Advertising Regulation Conference](#)
September 09, 2022

Regulatory Notice

[Regulatory Notice 22-11](#)
FINRA Reminds Firms of Their Sales Practice Obligations for Alternative Mutual Funds
April 19, 2022

Request for Comment

[Regulatory Notice 22-08](#)
FINRA Reminds Members of Their Sales Practice Obligations for Complex Products and Options and Solicits Comment on Effective Practices and Rule Enhancements
March 08, 2022

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