



Financial Industry Regulatory Authority

### FINRA Registration and Disclosure Boot Camp Form

Please complete a form for each representative of your firm attending a session(s).

First Name		Last Name	
Phone		E-mail Address*	
Title		Firm CRD#	
Firm Name			
Business Address			
Alternate Contact Name			
Alternate Contact Phone			

**\*Important Note:** Provide a complete and accurate **email address** so we may send your registration confirmation email and updates regarding this program. Email addresses are not used for any other purposes.

CHECK BOX	DATES	Fee	LOCATION
<input type="checkbox"/>	<b>**September 26 - 27, 2018</b> <ul style="list-style-type: none"><li>September 26 → 8:00 a.m. to 4:30 p.m. ET</li><li>September 27 → 8:30 a.m. to 3:00 p.m. ET</li></ul>	<b>\$600*</b>	FINRA 9509 Key West Ave. Rockville, MD 20850

**NOTES:**

\*Payment is due upon registration. Registrants are solely responsible for travel and hotel accommodations costs.

\*\*FINRA will conduct a Foundations of Web CRD/IARD class prior to this session (September 24 - 25). Click [Foundations of Web CRD/IARD](#) for more information.

**Payment Method** (Select one): Full payment is due with the registration form in order to be considered complete.

<b>CREDIT CARD PAYMENT</b>	<input type="checkbox"/> Visa	<input type="checkbox"/> MasterCard	<input type="checkbox"/> American Express
Registration forms with credit card payments may be <b>faxed</b> to the FINRA Conference Registration at (202) 728-6956 or mailed to the address listed below for check payments.			
<b>Name on Credit Card</b>			
<b>Credit Card Account #</b>			
<b>Expiration Date (mm/year)</b>			
<b>Signature</b>			

<b>CHECK PAYMENT</b>	<input type="checkbox"/> <b>Check Enclosed.</b> Please make check payable to <b>FINRA</b> .		
Registration forms with check payments cannot be faxed. A check must be <b>mailed</b> along with the form to: <b>FINRA</b> <b>Attention: FINRA Registration and Disclosure Boot Camp Training</b> <b>P.O. Box 418911</b> <b>Boston, MA 02241-8911</b>			
<b>For Internal Use Only</b> Date Received: _____ AMT: _____ REG: _____ PCTRANS: _____			

**NOTE:** If an individual is not a "Confirmed Registrant" (i.e. you do not receive a Confirmation email), there is no guarantee that you will be able to participate in the class.

## **FINRA Registration and Disclosure Information and Form Instructions**

### **Session Description**

FINRA Registration and Disclosure Boot Camp Fee (\$600\*\*) - includes 2 days of detailed and comprehensive training on reporting Disclosure-Related Events and RAD Department Hot Topics. Continental breakfast and a networking lunch will be provided. You will have the opportunity to meet one on one with Disclosure Review Analysts and other RAD Staff. Space is limited so register early.

The FINRA Registration and Disclosure Boot Camp is beneficial to those who are new to reporting Disclosure information in Web CRD or those who want to receive refresher training and reporting tips. The training will offer practical and comprehensive training on disciplinary events and hot topics in the RAD Department.

This training session is intended for compliance/registration staff of broker-dealers, investment advisers or third-party vendors with entitlement to Web CRD/IARD. If you are neither associated with a broker-dealer or investment adviser firm nor otherwise already entitled to Web CRD/IARD, please contact FINRA at [webcrd@finra.org](mailto:webcrd@finra.org) so we can better assess your specific CRD training needs.

## **FINRA Registration and Disclosure Boot Camp Session Topics**

Introduction  
CHRI (Criminal History Record Information)  
Court Documents  
Form U4 Disclosure Reporting  
Form U5 Disclosure Reporting  
Disclosure Fees  
BrokerCheck  
Form BD Filing Tips  
We CRD Disclosure Navigation  
RAD Hot Topics

### Registration Via Fax or Mail

<b>Fax</b>	Complete this <b>registration form</b> , including your credit card information, and fax it to FINRA Conference Registration at (202) 728-6956. This completes your registration— <b>do not mail the original form</b> . Please do not fax your registration form if paying by check.
<b>Mail</b>	Complete this <b>registration form</b> and mail it to the address below with a check made payable to <b>FINRA</b> .  FINRA Attention: Foundations of Web CRD/IARD Training P.O. Box 418911 Boston, MA 02241-8911  <b>Please Note:</b> Registration may not be sent via overnight mail. Checks are sent directly to a bank lockbox, and the P.O. Boxes will not accept courier and overnight deliveries.

**You may also register online** (only credit card transactions are accepted for this method). Please do **not** fax or mail a copy of this registration form if you register online.

- To register online, go to the FINRA Registration and Disclosure Boot Camp Training Web page and click on the 'REGISTER NOW' link for the session you would like to attend. Enter the information requested on the screen.

### Registration Confirmation

Confirmation of your registration will be sent to you within two weeks of receipt of payment. Your registration will be processed, and your space held, only at the time we receive the registration fee. Registrations will not be complete until full payment is received. If an individual is not a "Confirmed Registrant" (i.e. you do not receive a Confirmation email), there is no guarantee that you will be able to participate in the class.

## **Cancellation Policy**

Sessions are subject to cancellation based on the number of participants. We will notify registrants of session cancellations at least 30 days prior to session start dates. Registration fees will be refunded upon FINRA cancellation of a session.

If a registrant wishes to cancel, the following cancellation policy will be followed:

Notification of Cancellation:

- 30+ days prior to the start date of the training session = 100% full refund of the Registration Fee
- 14 to 30 days prior to the start date of the training session = Full refund of the Registration Fee, less a \$100.00 Cancellation Fee
- Less than 14 days = NO REFUND

Cancellation notification must be in writing and should be faxed to (202) 728-6956 or sent via e-mail to [conreg@finra.org](mailto:conreg@finra.org).

## **Hotel Information**

FINRA is **not** holding hotel reservations for any session. Attendees are solely responsible for securing their own hotel accommodations. Please refer to the [FINRA Registration and Disclosure Boot Camp Frequently Asked Questions Web page](#) for a brief list of suggested hotels that are in close proximity to the facility in which the training sessions will be conducted.

## **Questions**

- Call the **Gateway Call Center at 301-869-6699 for general FINRA Registration and Disclosure Boot Camp information** (i.e., the topics covered in the training sessions, session dates, locations, how to register, etc.) or contact [webcrd@finra.org](mailto:webcrd@finra.org) for questions.
- Call **FINRA Conference Registration at 212-858-4119 for specific registration assistance** (i.e., discrepancies with registration fee payment or registration confirmation information, non-receipt of confirmation, etc.).