



Financial Industry Regulatory Authority

FINRA Foundations of CRD Registration 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			

Are you a CRD®/IARD™ Account Administrator for your firm? Yes _____ No _____

***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.

Session Selection: Please indicate below the training session(s) for which you are registering.

CHECK BOX	DATES	FEE	LOCATION
<input type="checkbox"/>	September 23 – 24, 2019 (8:00 a.m. to 5:00 p.m., ET, both days)	\$500*	FINRA 9509 Key West Ave Rockville, MD 20850

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

NOTES:

This training session is intended for compliance/registration staff of broker-dealers, investment advisers or third party vendors with entitlement to CRD/IARD. If you are not associated with either a broker-dealer, investment adviser firm or otherwise not already entitled to CRD/IARD, please contact FINRA at webcrd@finra.org so we can better assess your specific CRD training needs.

FINRA will conduct a Registration and Disclosure Boot Camp class after this session (September 25 - 26).

BOGO Offer: Foundations of CRD Training and FINRA Registration and Disclosure Boot Camp • September 23- 26, 2019 • Rockville, MD

Attend both trainings (Foundations of CRD and FINRA Registration and Disclosure Boot Camp training) for a reduced cost of \$800.

To receive the discount, register for one of the classes. The discount code to register for the other class will be included in your email confirmation. The discount is non- transferable and only valid for one person to attend both events.

Space is limited, so register soon.

Foundations of CRD Session Topics	
	<ul style="list-style-type: none"> • Introduction • Overview of classic CRD and new CRD • Account Administration • Electronic Forms Overview • Organization and Individual Information • Firm, Branch and Individual Queues/Activities • Firm Notifications • Disclosure Navigation • Qualifications Information • Reports • IARD Overview • RAD Hot Topics

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

Registration Via Fax or Mail

Fax	<p>Complete this registration form, including your credit card information, and fax it to FINRA Conference Registration at (202) 728-6956. This completes your registration—do not mail the original form. Please do not fax your registration form if paying by check.</p>
Mail	<p>Complete this registration form and mail it to the address below with a check made payable to FINRA.</p> <p>FINRA Attention: Foundations of CRD Training P.O. Box 418911 Boston, MA 02241-8911</p> <p>Please Note: 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.</p>

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 or by phone.

- To register online, go to the Foundations of CRD 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.

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 Foundations of CRD 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 Foundations of CRD information** (i.e., the topics covered in the training sessions, session dates, locations, how to register, etc.) or contact webcrd@finra.org
- 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.).