

The FINRA logo is located in the top left corner of the image. It consists of the word "FINRA" in a bold, blue, sans-serif font, with a registered trademark symbol (®) to its upper right. The background of the entire page is a photograph of a modern office interior with large windows and people in business attire. A red horizontal bar is positioned below the main title, and a blue geometric pattern is in the bottom left corner.

FINRA®

2024

ADVERTISING REGULATION

September 26-27, 2024 | Washington, DC

About FINRA Advertising Regulation Conference

FINRA's Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced communications compliance and marketing professionals. Industry and regulatory speakers facilitate interactive discussions of topics including, regulatory developments and priorities, rule interpretations, emerging issues, new and developing product trends firm practices and effective processes, supervisory considerations and compliance tips. The conference also provides the opportunity to network with industry peers, participate in communications review workshops, attend technology demos, and meet one-on-one with Advertising Regulation Department staff and other FINRA departments.

Wednesday, September 25	
5:00 p.m. – 7:00 p.m.	Registration & Information Kick Off Reception With Exhibitors Office Hours

Agenda: Day One

Thursday, September 26	
7:30 a.m. – 5:30 p.m.	Registration Office Hours AREF Demos Information Stations
7:30 a.m. – 9:00 a.m.	Continental Breakfast
8:00 a.m. – 8:45 a.m.	▶ Networking Icebreaker Come meet your fellow attendees at this fun and informative icebreaker session. Bring your coffee and questions about how to get the most from the conference experience. FINRA staff guide participants through light-hearted meet-and-greet activities and preview conference highlights.
8:45 a.m. – 9:00 a.m.	▶ Break
9:00 a.m. – 9:25 a.m.	▶ Welcome Remarks*
9:25 a.m. – 10:15 a.m.	▶ Plenary – Regulatory Developments: Finfluencers, Artificial Intelligence and Beyond* Hear perspectives from Advertising Regulation leaders as they address the latest regulatory developments and trends including new rule making, foreign language communications, thematic observations from the financial influencer targeted reviews, and the use and supervision of Artificial Intelligence to create communications and marketing.
10:15 a.m. – 10:30 a.m.	▶ Break

All times are listed in Eastern Time

Note: Only sessions with an asterisk (*) are being recorded for future viewing.

10:30 a.m. – 11:30 a.m.	<p>▶ Concurrent Sessions:</p> <p>Advertising Compliance: Fundamentals of Rule 2210*</p> <p>Designed for compliance and marketing professionals who are new to FINRA's advertising rules or experienced practitioners interested in a refresher, this session provides an overview of FINRA's Communications With the Public rule, including filing requirements, internal approval and supervision and content standards. FINRA staff experts answer questions about how to apply the rules to financial services communications and marketing materials.</p> <p>Communications Considerations for Options, Optionality and Derivative-Based Products</p> <p>Join FINRA staff and industry panelists as they discuss key promotional communications filing requirements and effective practices related to investment vehicles such as options and derivatives-based products, including funds; registered, indexed linked annuity contracts (RILAs) and structured notes.</p>
11:30 a.m. – 12:45 p.m.	<p>▶ General Lunch With Trending Topics Networking</p> <p>During general lunch, FINRA Advertising Regulation staff are hosting a select number of tables to discuss key communications topics with attendees. Attendees can elect to join a table labeled with a topic of interest to engage in discussions with fellow practitioners and FINRA staff.</p>
12:45 p.m. – 1:15 p.m.	<p>▶ Desserts With Exhibitors</p>
1:15 p.m. – 2:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>Navigating the Evolving Landscape for Funds, ETFs, and Exchange Traded Products*</p> <p>Panelists discuss current issues associated with spot crypto currency related exchange-traded products (ETPs), new and developing product trends such as single stock and options-based income strategy exchange-traded funds (ETFs) and supervision considerations. The presentation also covers funds focusing on capital preservation, defined outcomes and retirement strategies and shares regulatory interpretations, firm practices and effective processes and compliance tips.</p> <p>Advertising Compliance Bootcamp: Select Topics</p> <p>This panel provides compliance and marketing professionals with a deeper understanding of selected rules and FINRA guidance to create compliant communications. FINRA panelists review frequently raised regulatory compliance questions related to mutual funds, ETFs and variable insurance products communications and marketing. Topics include disclosure and performance standards of SEC rules, standards for variable insurance product communications, presentation of performance rankings, and a discussion of the core compliance concepts for social media and digital communications.</p>

Continuing Education (CE) Credits

The FINRA Advertising Regulation Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits.

2:15 p.m. – 2:45 p.m.	▶ Networking Break
2:45 p.m. – 3:45 p.m.	▶ Concurrent Sessions: Supervisory Considerations for Off-Channel Communications* Join this session to gain insight into the latest regulatory observations related to off-channel communications and effective practices firms are implementing to stay compliant. Communications Review Workshop #1 Back by popular demand, this highly interactive and dynamic session enables attendees to apply the communications rules to several mock communications and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions. This session will also be offered on day two.
3:45 p.m. – 4:00 p.m.	▶ Break
4:00 p.m. – 5:00 p.m.	▶ Plenary Session – Ask Advertising Regulation Senior Staff* Join senior staff in FINRA's Advertising Regulation Department to hear how to navigate current developments in FINRA's communications rules and industry marketing practices including digital communications and social media, new rule developments and interpretations, and working effectively with FINRA staff. Panelists answer questions on how to embrace the future of communications while remaining compliant.
5:00 p.m. – 6:30 p.m.	▶ Networking Reception

Registration

If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

A full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the event. Refunds will not be granted after September 11, 2024.

Agenda: Day Two

Friday, September 27	
7:30 a.m. – 12:30 p.m.	Registration Office Hours AREF Demos Information Stations
7:30 a.m. – 9:00 a.m.	▶ Continental Breakfast
9:00 a.m. – 10:00 a.m.	▶ Plenary Session – The Latest in Crypto Asset Communications* Join this session to learn about the latest crypto asset communications developments including findings and effective practices from the crypto-asset retail communications targeted exam, current trends in crypto asset misconduct and resources and guidance firms can leverage.
10:00 a.m. – 10:15 a.m.	▶ Break
10:15 a.m. – 11:15 a.m.	▶ Concurrent Sessions: Exempt Offerings and Crowdfunding* This session focuses on industry and regulatory developments related to private placements and public offerings registered under Reg D and Reg A+. During the session, panelists discuss common concerns and recent regulatory findings. Speakers provide practical information and effective practices for firms offering these products to retail investors and discuss Regulatory Notices 20-21 and 21-26, as well as recent guidance to broker dealers and funding portals concerning crowdfunding offerings. Communications Review Workshop #2 If you missed this workshop on day one, attend this highly interactive and dynamic session that enables attendees to apply the communications rules to several mock communications and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.
11:15 a.m. – 11:30 a.m.	▶ Break
11:30 a.m. – 12:30 p.m.	▶ Plenary Session – Compliance Considerations for Artificial Intelligence in Firm Communications* Hear from FINRA staff and other experts as they share their perspectives on the growing application of Artificial Intelligence (AI) by firms and regulatory implications for industry supervision of firm communications, including chatbot communications and AI-generated communications.
12:30 p.m.	▶ Conference Adjourns

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- Compliance Risk Concepts (CRC)
- Pinpoint Global Communications
- Red Marker
- Red Oak Compliance Solutions
- RegEd, Inc.
- Saifr
- Smarsh

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email Jeff.Arcuri@finra.org to request a conference exhibitor package.

FINRA Information Stations

Staff from a variety of FINRA departments will be available to speak informally with attendees about FINRA programs including:

- Credentialing, Registration, Education, and Disclosure: Featuring FLEX (Financial Learning Experience)
- Member Relations & Education
- Member Supervision Publications and Resources
- Office of the Ombuds

Office Hours with FINRA Advertising Regulation Staff

In-person attendees can meet with FINRA Advertising Regulation staff members during Office Hours. You can ask specific questions, discuss topics raised during the conference, or get to know your firm's assigned analyst.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary.