



2019 FINRA Midwest Region Member Forum FAQs

General

Q: What is the dress code for the forum?

A: The dress code for the forum is business. Please note: session room temperature will vary; we recommend you wear layered clothing to ensure your personal comfort.

Q: Where is Registration?

A: Registration is located in the Salon I and II Foyer.

Q: Are there restaurants located within walking distance of the hotel?

A: The app has a Local Guide, which will show you restaurants that are close to the forum location.

Q: I left a personal belonging at a session, is there a lost and found?

A: The registration desk will have a lost and found. Attendees can also check with the Hotel Security.

Q: Is wireless internet available?

A: Yes, we have set up wireless access at the hotel.

- The wireless network name: **RitzCarlton_CONFERENCE** password: **finra1939**
- If you need assistance setting up the Wi-Fi on your mobile device, please visit the App/CE desk.

Q: Is a copy of the attendee list available?

A: The attendee list can be found inside the app. Tap on the Attendees icon to view.

Materials

Q: Will I receive a hard copy workbook for the forum?

A: No, all materials will be available through the app or on the [materials webpage](#). The materials will be available in advance of the forum if you wish to print them out.

Q: What is the Midwest Region Member Forum Materials webpage link?

A: Click here to access the [Midwest Region Member Forum Materials webpage](#).

Q: Will there be presentation handouts provided onsite?

A: Handouts will not be provided onsite, if you wish to print out materials please do so prior to arriving. Session materials are accessible on the [Midwest Region Member Forum webpage](#) and on the forum app.

Continuing Education (CE)

Q: Are Continuing Education Credits offered?

A: Yes, CFP (Certified Financial Planner) and CRCP® (Certified Regulatory Compliance Professional)® Program CE credits are offered for the Midwest Region Member Forum. CLE (Continuing Legal Education) credits can be obtained through a voucher. Each voucher is good for taking elearning courses for five (5) CLE CE credits through our vendor, National Academy of Continuing Legal Education (NACLE). See the [CE grid](#) for additional information.

Q: What is the process for receiving CFP CE credits?

A: Prior to attending – provide the last four digits of your SSN and your CFP Board ID in CVENT. During the registration process, stop by the registration desk to review if your SSN and CFP Board ID are in your conference profile.

Note: After Thursday, October 17, 2019: If an attendee fails to provide FINRA with the last four digits of their SSN and their CFP Board ID by **October 17**, the attendee will be responsible for reporting their CE directly to the CFP Board.

Also Note: The forum is approved for three (3) CFP CE credits.

Q: What is the process for receiving a CLE CE Voucher?

A: CLE credit is not given for attending this forum; however, CLE CE **vouchers** are available at the App/CE desk. The voucher is good for taking elearning courses for five (5) CLE CE credits through National Academy of Continuing Legal Education (NACLE).

Note: Voucher cards are for the specific person to whom they were awarded. The URL directs participants to a custom-build Web page, where National Academy of Continuing Legal Education (NACLE) will deliver the courses for CLE credit. All code redemptions are tracked.

Also note: You will need to provide your bar number and states you are requesting CLE in.

Q: Is the Midwest Region Member Forum available for CRCP CE credits?

A: In order to earn your four (4)-CRCP CE credits, please report your attendance through the CRCP CE Reporting System:

- Click on this link: <https://crcp.finra.org> to access the CRCP CE Reporting System.
- Use your FINRA CRCP Account username and password to log in.
- Click on the “My Credits” tab and select the Report Credit button.
- Type the name of the course into the Class Name field and select the appropriate class from the selection that appears at the bottom of the screen.
- Type in the date you completed the class.
- Click the Save button.

Q: Do you want to learn more about the CRCP program?

A: [Click here to view brochure.](#)

Office Hours

Q: What are office hours?

A: Office Hours provide an opportunity for forum attendees to meet one-on-one with FINRA staff. Several FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific issues.

Q: How do I sign up for office hours?

A: You can sign up for office hours through the forum app or by visiting the App/CE table in the Salon I and II Foyer. To schedule an appointment through the app:

- Click on the "Office Hours" icon to see a listing of available appointments.
- Add an Office Hour appointment to your MySchedule List by tapping the "o" (iPhone) or "□" (Android) icon next to the listing. This action books the appointment.
- If an office hour appointment is already booked, you will receive a message that the time has been booked asking you to select a different time.

Q: Where are office hours located at the forum?

A: The office hours are located in the Ambassador Room.

Q: If I do not want to set up an office-hours appointment, will FINRA staff be available during the forum for me to talk to?

A: FINRA staff will be in attendance during the forum but will not have specific locations and may be more difficult to locate.

App

Q: Where can I get more information and help with the app?

A: Please visit the App/CE desk in the Salon I and II Foyer for answers to questions.

Q: What is my username for the app?

A: The email address you registered for the forum with is your username.

Q: What is my password for the app?

A: The password is "finra1939" (case sensitive). If you have previously changed or need to change your password, please use the "Reset Password" link located on the login screen.

Q: How do I ask a question during a session through the app?

A: To ask a session panel a question through the app:

- Tap the "Schedule" icon and select the session.
- At the top of the screen, tap the "Ask" icon.
- An email draft will pop up where you can type your question and tap "Send" in the upper right.

Q: How do I participate in polling through the app?

A: To use polling through the app:

- Tap the "Schedule" icon and select the session.
- At the top of the screen, tap the "Polling" icon.

Q: If I ask a question during a session and the panel does not answer it, how can I get an answer to the question?

A: The panels will do their best to answer all questions during their sessions. If your question is not answered, you can try to ask the panel after their session ends.

Q: How long after the forum will I be able to access the app and materials?

A: Materials will be available for one year after the forum. If you remove the app from your device before you download your notes or materials, you will lose them.

Q: Can I print my schedule, notes or lists?

A: To email yourself a printable Excel file of your MySchedule, MyNotes, or any lists in your MyConference folder:

- Tap on the "MyConference" icon.
- Tap the "Export" button (on phone) or "Share" button (on iPad or HTML version) in the top right corner of the MyConference" listing page.
- Select the sections you would like to export.
- Tap "Send."
- An email draft will appear. Enter the email address where you would like the information to be sent.
- All exported data will be delivered to your inbox as a printable excel attachment.

Q: How do I access or download the materials / handouts from each session?

A: To email yourself a copy of the session's materials:

- Tap the "Schedule" icon and select the session.
- Tap the "Handouts" icon.
- From there, you can open the materials separately to view on your device or select the "Share" button in the top right corner of the page.
- An email draft will appear. Enter the email address where you would like the materials to be sent.

- Select the materials you would like sent to your email, then tap “Send” at the top of the screen.

Q: Will MySchedule and MyNotes sync to multiple devices?

A: Yes, if you have the app downloaded on multiple devices, your saved MyConference information will sync to your other devices.

Q: How do I know if there have been updates to the app?

A: If the app has updates, you will see a red “sync” icon in the top right hand corner of the app. Just tap on the red “sync” icon to update your app.

Other Information

Q: What is FINRA’s Privacy Policy?

A: FINRA authorizes use of, and access to, the event information in the app by sending a link to the email you used to register for the event. FINRA uses your email address as a user ID in the app and does not share, sell or use your email address for commercial purposes. Your name, title and company provided during the registration process will be made available to event attendees via the conference directory / attendee list.

Q: Do you want to learn more about FINRA’s upcoming conferences?

A: Mark your calendar and be sure to note the deadlines for early registration discounts.

- **2019 FINRA District Compliance Seminar With the State of Pennsylvania – October 16, 2019 | Harrisburg, PA**
FINRA’s District Compliance Seminar with the State of Pennsylvania offers a comprehensive agenda designed for new and experienced compliance and legal professionals. Industry and regulatory speakers facilitate an interactive discussion on regulatory rules and effective practices. This half-day event also includes opportunities to network with industry peers and FINRA District Office staff
- **2019 FINRA Small Firm Conference – October 23-24, 2019 | Santa Monica, CA**
The Small Firm Conference focuses on small firms’ practices and tips for complying with FINRA rules. Throughout the event, attendees have the opportunity to discuss small firm issues with FINRA senior staff.
- **2019 FINRA Advertising Regulation Conference – October 24-25, 2019 | Washington, DC**
FINRA’s Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced advertising professionals. Industry and regulatory speakers will facilitate interactive, forward-looking discussions on current practices, policies, priorities and emerging regulations. This year’s conference includes opportunities to network with industry peers and meet one-on-one with Advertising Regulation Department staff during office hours and throughout the event.
- **2019 Senior Investor Protection Conference – November 12, 2019 | Washington, DC**
The Senior Investor Protection Conference is a one-day event dedicated to sharing the most up-to-date regulatory information and effective strategies and solutions for protecting senior investors and vulnerable adults. This conference includes an expanded focus on FINRA Rules 2165 and 4512—which provide firms with tools to help protect seniors and vulnerable investors from financial exploitation. The conference also offers opportunities to network and discuss issues specific to senior investors with FINRA staff and industry practitioners.
- **2020 FINRA Annual Conference – May 12-14, 2020 | Washington, DC**
FINRA’s premier event—the Annual Conference provides the opportunity for practitioners, peers and regulators to exchange ideas on today’s most timely compliance and regulatory topics. The

conference offers industry professionals a variety of sessions related to current trends in technology, cybersecurity, risk management and much more.