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## 2019 FINRA District Compliance Seminar With the State of Pennsylvania Frequently Asked Questions (FAQs)

### General

**Q:** What is the dress code for the seminar?

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

**Q:** Where is Registration?

**A:** Registration is located in the Ballroom South Foyer.

**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: **Ballroom** password: **R@di\$\$0n** (the o is a zero).
- If you need assistance setting up the Wi-Fi on your mobile device, please visit the registration desk.

**Q:** Where is the Networking Reception being held?

**A:** The Networking Reception is being held in Keystone Ballroom D / E.

**Q:** Is a copy of the attendee list available?

**A:** Yes. The attendee list will be posted on the [materials website](#).

### Materials

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

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

**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 FINRA [materials webpage](#).

**Q:** How long after the seminar will I be able to access the materials?

**A:** Materials will be available for one year after the seminar.

### Participation

**Q:** How do I ask a question during a session?

**A:** There are two ways to ask a question during a session:

1. You can write your question on a blue card located at your table and hold it up for a room monitor to pick up and take to the moderator.
2. You can email any questions to [sessionquestions@finra.org](mailto:sessionquestions@finra.org) and the room monitor will print it out and take it to the moderator.

**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. You can also email questions to [memberrelations@finra.org](mailto:memberrelations@finra.org).

**Q:** How do I participate in polling?

**A:** To use polling – type in the link given at the beginning of each session into your mobile browser. Choose your answer and tap submit.

## **Continuing Education (CE)**

**Q:** Are Continuing Education Credits offered?

**A:** Yes, CFP (Certified Financial Planner) and CRCP® (Certified Regulatory and Compliance Professional)® program CE credits are offered for the seminar. CLE (Continuing Legal Education) credits can be obtained through a voucher. 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 registration profile.

**Note:** If an attendee fails to provide FINRA with the last four digits of their SSN and their CFP Board ID by **October 30, 2019**, the attendee will be responsible for reporting their CE directly to the CFP Board.

The District Compliance Seminar With the State of Pennsylvania is approved for three (3) CFP CE General Credit.

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

**A:** CLE credit is not given for attending this seminar; however, CLE attendees will receive **CE vouchers**. CLE CE vouchers are available at the CE desk. The voucher is good for taking online 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:** What is the process for receiving CRCP® CE credits?

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

1. Click on this link: <https://crcp.finra.org> to access the CRCP CE Reporting System.
2. Use your FINRA CRCP Account username and password to log in.
3. Click on the “My Credits” tab and select the Report Credit button.
4. 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.
5. Type in the date you completed the class.
6. Click the Save button.

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

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

## Other Information

**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:

<https://www.finra.org/events-training/conferences-events>.

- **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.
- **2019 Regulation Best Interest Conference – December 18, 2019 | Washington, DC**  
FINRA's Regulation Best Interest Conference is a one-day event designed to bring regulators, executives and industry practitioners together to learn more about Regulation Best Interest (Reg BI).
- **2020 FINRA Cybersecurity Conference – January 14, 2020 | New York, NY**  
FINRA's Cybersecurity Conference provides a forum to learn the fundamentals and take a deeper dive into key areas of cybersecurity.
- **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.