Demystifying FINRA for Credit Unions

PRESENTED BY THE SOUTH METRO DENVER CHAPTER (SMDC) AND FISHER PHILLIPS

Event
6.23.21
7:30 AM — 9:00 AM MDT

Wealth Management, Financial Planning, a Diversified Portfolio – increasingly these are the things members demand from their Credit Union. To meet these demands, Credit Unions often enlist the assistance of affiliated or third-party broker-dealers, which may mean adding employees or independent contractors who are registered with appropriate authorities.

Providing these services requires, among other things, an understanding of, and ability to navigate, the rules and procedures put in place by the Financial Industry Regulatory Authority (FINRA). Those who are unfamiliar with FINRA may find the maze of requirements daunting, but that is not how it needs to be. Fisher Phillips and the SMDC are proud to present an Executive Roundtable, "Demystifying FINRA for Credit Unions."

Join Fisher Phillips and the SMDC for an *Executive Roundtable* with attorneys **Mike Greco** and **David Roth**, where they will discuss the rules and procedures put in place by the Financial Industry Regulatory Authority (FINRA), and what Credit Unions need to know to navigate the maze of requirements. You will come away with the ability to recognize and address common questions arising from the employment of personnel who are registered with FINRA.

Topics to Include:

- Best practices for protecting members' information while working with third-party broker-dealers
- Unique FINRA limitations on non-compete agreements and other commonly used restrictive covenants
- Issues related to Form U5 termination notices and expungement actions
- What to expect if you are pulled into the unfamiliar world of FINRA arbitrations

If you have any questions, please contact Rainatu Conteh.

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