

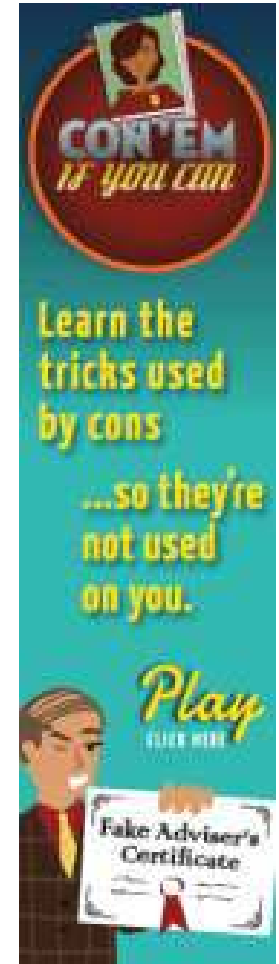
FINRA Investor Education Today



Focus on Resources, Research and Reach

■ Resources

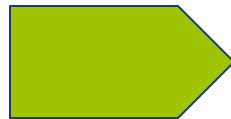
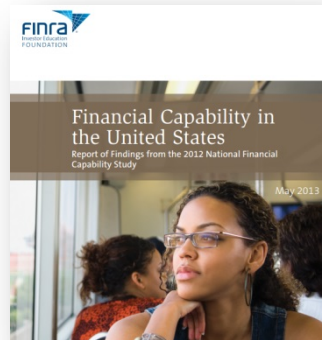
- Alerts & Publications
- Tools & Podcasts
- Games & Videos
- Live Forums
- Peer-to-Peer Communication



Focus on Resources, Research and Reach

■ Research

- Deeper dives into National Financial Capability Study

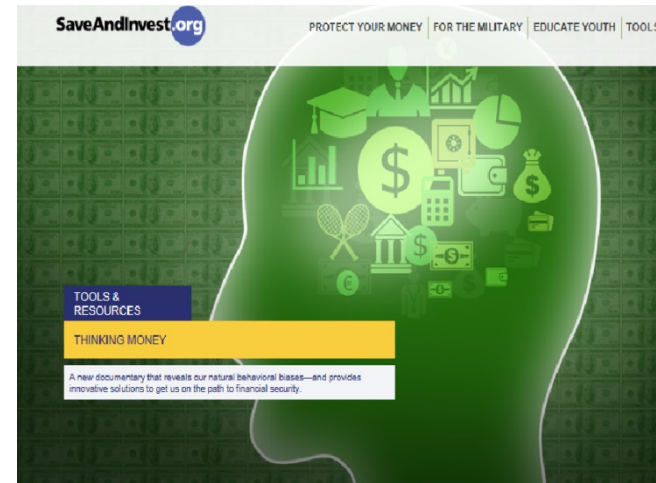


- Rigorous study of links between financial practices and financial literacy
- Program evaluation

Focus on Resources, Research and Reach

■ Reach

- Media Relations
- PSAs
- Public Television
- Content Syndication
- Replication



Enhancement of Existing Resources

■ Brokercheck

« Back to search results

BrokerCheck
by FINRA

Individual Firm Smith Within 5 Miles of

JO

Problems?

Registered?

Experience?

Licenses?

Broker Investment Adviser

1 Disclosure(s) ⓘ

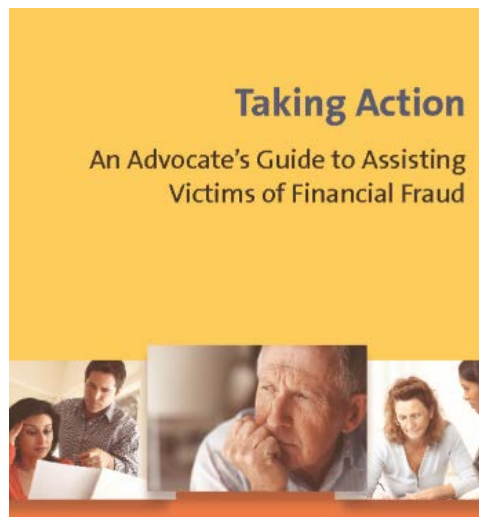
46 year(s) in securities industry

Passed 5 Exam(s)
Registered with 9 U.S. states and territories

The image shows a screenshot of the BrokerCheck website interface. At the top, there is a navigation bar with the text « Back to search results on the left and the BrokerCheck by FINRA logo on the right. Below the logo, there are tabs for 'Individual' and 'Firm', and a search field containing 'Smith'. To the right of the search field is a filter for 'Within 5 Miles of'. The main content area displays a profile for a 'Broker Investment Adviser'. Four callout bubbles are overlaid on the profile, each pointing to a specific feature: 'Problems?' points to a flag icon and the text '1 Disclosure(s) ⓘ'; 'Registered?' points to a person icon and the text 'Broker Investment Adviser'; 'Experience?' points to a suitcase icon and the text '46 year(s) in securities industry'; and 'Licenses?' points to a document icon and the text 'Passed 5 Exam(s) Registered with 9 U.S. states and territories'.

Development of New Resources and Partnerships

- Senior Help Line
- Investor Issues Committee
- Law Enforcement/Community Groups



FINRA
Financial Industry Regulatory Authority

FINRA Securities Helpline for Seniors™

A toll-free number that senior investors can call to get assistance from the Financial Industry Regulatory Authority (FINRA) or raise concerns about issues with brokerage accounts and investments.

**Call 844-57-HELPS
(844-574-3577)
Monday – Friday
9 a.m. – 5 p.m. Eastern Time**

The advertisement features the FINRA logo at the top. Below it is a photograph of an elderly person's hands holding a smartphone. The text is arranged in a clean, professional layout with a gray header for the title and a white background for the main text.

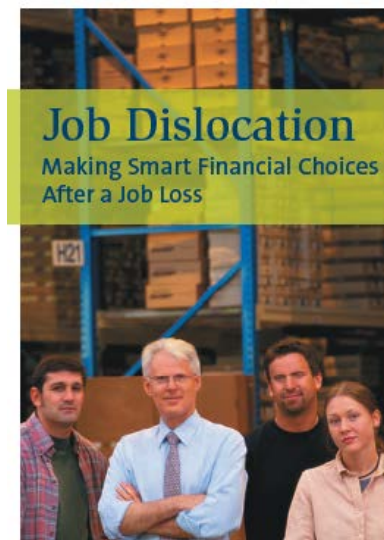
Looking Ahead



A Commitment to Experimentation

■ Who do we educate and protect?

- We're looking beyond "average" investor
 - One of FINRA's most widely distributed publications is geared to people who lost their jobs.
- **Next...**
 - Individuals with low financial capability (research driven)
 - E.g. We're funding research to learn more about risk factors related to accumulating medical debt
 - Those at risk of latest fraud, risky or complex products or problematic professional behavior (often regulatory driven)
 - The latest problem/concern (often investor driven)
 - E.g. Beneficiaries, investors and others concerned about diminished capacity



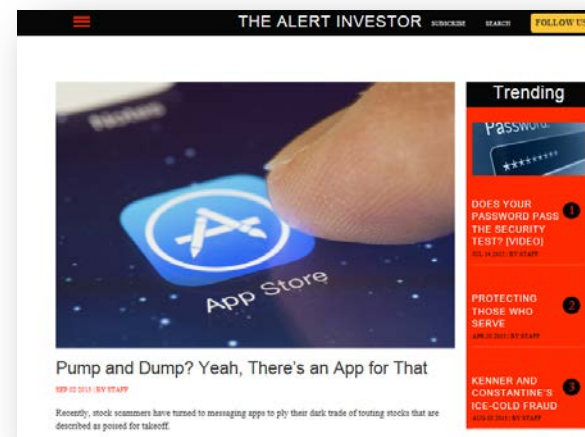
Commitment to Experimentation

■ What products to develop?

- Products that “keep giving”
- New “packaging” of existing products and services
 - An “interactive” library: hands-on financial literacy exhibits with related programming in 50 communities nationwide

• How to promote messages?

- Combination of earned and paid media
- Experimenting with new ways to harness social media



Lessons Learned

- Align efforts to mission
- Incorporate numeracy skills whenever possible
- Undergo neutral evaluation
- Scale and replicate
- Engage with communities
- Partner widely **within** your organization
- Partner strategically **outside** your organization