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

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Focus on Resources, Research and Reach

- Reach
  - Media Relations
  - PSAs
  - Public Television
  - Content Syndication
  - Replication
Enhancement of Existing Resources

- Brokercheck

**Questions:**
- Problems?
- Registered?
- Experience?
- Licenses?

**Information:**
- Broker Investment Adviser
- 1 Disclosure(s)
- 46 year(s) in securities industry
- Passed 5 Exam(s) Registered with 9 U.S. states and territories

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Development of New Resources and Partnerships

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

Taking Action
An Advocate's Guide to Assisting Victims of Financial Fraud

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