

PLANNING AN INVESTOR PROTECTION WORKSHOP OR EVENT

What does an investor protection event look like and how much planning is involved? A workshop or event could take place with a group of 10 people or could engage as many as 300 people. It can be planned by a single person or a network of community organizations. In short, an event can be as large or small as your time and resources allow. What matters is that the event delivers the right messages and provides information that participants can use.

That's why the FINRA Investor Education Foundation has created two tools that are cornerstones of the Outsmarting Investment Fraud program and can be adapted for audiences of any size:

- The *Outsmarting Investment Fraud* curriculum is a fully interactive PowerPoint presentation that includes activities to unveil the “psychology of a scam.” Available in 30-minute and 60-minute formats, this presentation requires access to audiovisual equipment (i.e. computer, screen and a projector). A version of this presentation includes videos and will require audio/speakers for the computer. The presentation can be given by a single or multiple speakers. (There is also a DVD-only version of the presentation, which requires a television and DVD player.) The presentation is also available as an oversized, portable flip-chart for use when audiovisual equipment is not available. The PowerPoint presentation and supporting materials can be found in the **How to Use the Outsmarting Investment Fraud Curriculum** section of this toolkit. If you are interested in obtaining a copy of the portable flip-chart, please contact the FINRA Investor Education Foundation at (202) 728-6964 or InvestorEducation@finra.org.



- Filmed in high-definition and featuring real-life stories from victims, experts in fraud prevention and fraud criminals, “Tricks of the Trade: Outsmarting Investment Fraud” is a cinema-quality film that outlines the same principles taught in the curriculum. The DVD can be shown on its own or followed by a roundtable discussion. A longer description of “Tricks of the Trade: Outsmarting Investment Fraud” and recommended questions for discussion can be found in the **“Tricks of the Trade: Outsmarting Investment Fraud” Documentary** section of this toolkit.



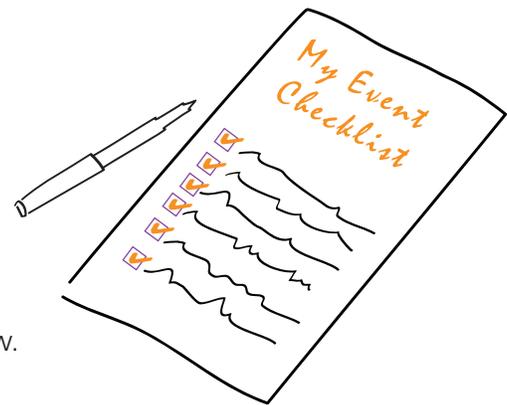
Getting Started

We encourage you to use the *Outsmarting Investment Fraud* curriculum presentation or the “Tricks of the Trade: Outsmarting Investment Fraud” DVD as a key focus of your workshop or event. Whether you choose to hold a small workshop to walk through the presentation, gather a group to view the DVD or hold an Investor Forum with local experts and community members, there are basic steps below to help you plan an event.

1. Decide on the type of event you want to hold.

Before you start to worry about specifics, think about these general questions. Your answers will help you determine the format for your event, including whether you want to partner with other organizations, how and where you should recruit participants and the size of your event.

- What are your event goals?
- Where is your audience located?
- When is a good date/time to hold the event?
- What is your available budget?
- Are there other organizations that would serve as good partners?



A list of event ideas can be found in the pages that follow.

2. Select the event location.

The size of your event helps to determine where the event should be held. If you choose to have an event with a small group of friends, consider hosting the event at your house. If you belong to a member organization, ask if you can present in the organization’s meeting space. If you want to hold a large event of 50 or more people, consider contacting a venue with an auditorium or ballroom, such as a local school or community college, library, community center or hotel.

3. Choose a date and time.

Choose a date and time that makes sense for your organization and your audience. Consider that many members of your audience may have full-time jobs and regular office hours, so lunch activities in centrally-located places or evening events during the week will likely work best.

4. Set the agenda.

Determine how much time you will need—half an hour, one hour or more—and plan out how you will use the time. See the **Event Planning Templates and Materials** section for sample agendas.

5. Invite participants.

Consider how you will let individuals know about your event or workshop. Ideas include:

- ❑ If planning a small activity, e-mail your contacts, mail them invitations or call them directly.
- ❑ If presenting to a member organization, ask the organization to send out a mailing or e-mail, post the information in the upcoming newsletter and advertise the event on the organization's Web site.
- ❑ Reach out to people who attend your local place of worship or contact members of a local activity group, such as a bridge or golf group, and invite them to join.
- ❑ For an event open to the community, contact media outlets and ask them to include a listing in the community calendar. See the **Event Planning Templates and Materials** section for a calendar listing template. Distribute fliers or place posters in locations where your target audience frequents, such as local grocery stores, the library, a community center, the local coffee shop, etc.

Consider pre-registration for your activity so that you can plan accordingly. In your invitation, include an RSVP phone number and e-mail as well as a registration deadline. Keep a list of confirmed attendees so that you can contact them by phone or e-mail as a reminder.

6. Share your success!

Consider sharing your results with business leaders, the media or organizations that you may wish to partner with in the future. This is an opportunity to share the positive work you are doing in the community. Please also consider sharing your results with the FINRA Investor Education Foundation—we'd love to know how your event goes! See the Organizer Evaluation form in the **Event Planning Templates and Materials** section of this toolkit.

Event Ideas for Audiences of 5 to 25

Events held with a small group of people are a great way to share the Outsmarting Investment Fraud program message in an informal setting. There is much flexibility on where you can hold a workshop—in your home, at the local library, school or community center, even at a restaurant. The following are ideas for workshops or events that can easily be planned for audiences of any size, small or large. Sample agendas and planning checklists for each of the ideas below can be found in the **Event Planning Templates and Materials** section of this toolkit.

- ❑ **Hold an *Outsmarting Investment Fraud* curriculum workshop at a monthly meeting.**
Present the *Outsmarting Investment Fraud* curriculum at regularly scheduled meetings of local clubs or organizations. Membership organizations small and large often look for guest speakers who can provide relevant and useful information to their memberships. In addition to providing a built-in audience of their members, these organizations typically have audiovisual equipment available and ready meeting space.

Planning tips:

- ✓ Consider reaching out to civic organizations, such as Rotary and Lions Clubs; faith-based groups; special interest groups, such as AARP and garden, golf and bridge clubs; and volunteer-focused organizations, such as the Retired Senior Volunteer Program (RSVP) and Junior League sustainer groups.
- ✓ Contact a member of the organization; explain that you would like to talk with their membership about investor protection and the steps every investor should take to identify and prevent fraud; and ask whether you could be included as a guest speaker at an upcoming meeting.
- ✓ Find out how much time you will have to present and whether the meeting space is equipped for a PowerPoint presentation. You will need a computer, projector and a projection screen or white wall. If unavailable, consider using the oversized flip chart to guide your presentation. (You will need to contact the FINRA Investor Education Foundation at (202) 728-6964 or InvestorEducation@finra.org to obtain a flip-chart presentation.)
- ✓ If the organization has a newsletter or e-mail listserv, find out whether your presentation can be noted in an upcoming issue or mailing, as well as on the organization's Web site. A sample calendar listing is available in the **Event Planning Templates and Materials** section of this toolkit.
- ✓ Consider having a leader in the organization provide opening remarks or co-present with you.
- ✓ On the day/night of the meeting, bring: (1) an electronic version of the *Outsmarting Investment Fraud* curriculum and computer, computer speakers (if using the video version of the PPT), projector and screen or the flip-chart presentation; (2) copies of an agenda (if the organization does not already provide one to members); (3) giveaway items such as the "Fighting Fraud 101" brochure; and (4) information about how individuals can order a copy of the DVD documentary.

Hold a movie viewing and discussion.

The "Tricks of the Trade: Outsmarting Investment Fraud" DVD outlines the same principles addressed in the curriculum. If your organization does not have someone who can present the workshop, consider screening the movie and holding a discussion afterwards. Screening the film can be a creative alternative to conducting the workshop. Recommended questions for discussion can be found in the **"Tricks of the Trade: Outsmarting Investment Fraud" Documentary** section of this toolkit.

Planning tips:

- ✓ Consider reaching out to the organizations previously listed. You can even invite friends and family members to view the movie with you at your home.

- ✓ Contact a member of the organization and ask whether they would be interested in screening “Tricks of the Trade: Outsmarting Investment Fraud” with their membership.
- ✓ Find out if the meeting space is equipped with a DVD player and television or movie projector.
- ✓ If the organization has a newsletter or e-mail listserv, find out whether the movie screening can be noted in an upcoming issue or mailing. Also ask if you can publicize the screening on the organization’s Web site. A sample calendar listing for the DVD screening is available in the **Event Planning Templates and Materials** section of this toolkit.
- ✓ On the day/night of the screening, bring: (1) the DVD; (2) a copy of the discussion questions; (3) information about where to order a copy of the DVD; and (4) popcorn and snacks. You’re all set!

Event Ideas for Audiences of 25 or More

While events with larger audiences made up of community members can require more time to plan and a larger budget, you can share the “ask and check” message with a wider network of investors. Plan extra time to publicize your event throughout the community if you will be inviting participants outside of your personal circle or a membership organization.

The following workshops and events ideas can be planned for audiences of 25 to 100 or more, depending on your budget and timeline. Sample agendas and planning checklists for each of the ideas below can be found in the **Event Planning Templates and Materials** section of this toolkit.

□ Hold an Investor Forum with local partners.

Partner with state or local organizations to organize an Investor Forum for the community. A typical Investor Forum includes a presentation of the *Outsmarting Investment Fraud* curriculum, followed by a question and answer session in which local fraud prevention and enforcement experts respond to participants. Typically, these presentations will take place in a larger room—such as an auditorium, hotel meeting space or classroom—that may include a stage, a podium and a screen to show the PowerPoint presentation. In addition to providing speakers for the event, local partners can help with planning and outreach as well as any costs that may be associated with the event.

Planning an event for 100 people or more?

Please let us know! The FINRA Investor Education Foundation may be able to provide assistance in identifying speakers and supporting the planning and outreach for your event. If you are considering holding a large event, contact us at (202) 728-6964 to discuss ways we can support your efforts.

Planning tips:

- ✓ Consider reaching out to state or local organizations with an interest in investor protection issues. Possible partners include the State Securities Regulator, Office of the Attorney General, State Treasurer, Secretary of State and State Police. One or more of these organizations may also be able to provide speakers for the forum.
- ✓ Be prepared to hold pre-event planning sessions with the partners to divide planning roles and responsibilities, share ideas and check in on progress.
- ✓ If a partner is not able to provide an event location, consider a community college, community center or large public or private library that could provide an auditorium or similar large room where the event could be held. Confirm that the selected space has the necessary presentation and audiovisual equipment, including a stage, podium and microphone, computer access and a projector. Be prepared to bring equipment that the event location may not have.
- ✓ Publicize the event widely. Ask partners to publicize the event through any internal or external newsletters and e-mail listservs that reach community members ages 55 and older. Have partners place event information on their Web sites. Distribute event fliers and posters in places where members of the community tend to congregate, such as the post office, library, supermarket and even the local recycling center. See the **Outreach Tools and Materials** section to view and download event posters and fliers.
- ✓ Consider reaching out to local television, newspapers and radio stations to let them know about the event. Ask whether they will post a calendar listing. See the **Event Planning Templates and Materials** section for a template of the community calendar listing and media outreach templates.
- ✓ Contact the FINRA Investor Education Foundation to obtain “Fighting Fraud 101” brochures and other materials, which can be distributed at the event.
- ✓ All participating organizations will want a speaking role, so be sure to include all partners on the agenda based on their area of expertise. In advance of the event, hold a meeting to brief all speakers about the event agenda and speaking roles on the day of the event. If you will invite reporters to cover the event, make sure that speakers are comfortable conducting interviews.
- ✓ On the day/night of the meeting, bring: (1) an electronic version of the *Outsmarting Investment Fraud* curriculum; (2) audiovisual equipment, including a computer, computer speakers, projector, screen and microphone (depending on event size); (3) copies of the event agenda; and (4) giveaway items such as the “Fighting Fraud 101” brochure.
- ✓ Once the event is over, be sure to send thank-you letters to event partners and speakers, and share feedback about the event with the FINRA Investor Education Foundation by filling out the Organizer Evaluation form in the **Event Planning Templates and Materials** section.

□ Organize a movie premiere.

The “Tricks of the Trade: Outsmarting Investment Fraud” DVD outlines the same principles addressed in the curriculum. Consider holding a “movie premiere” to screen the DVD at a local cinema, followed by a question and answer session that could be led by you or a panel of local experts.

While your local movie theater is an ideal location to hold a screening of the film, there are many other locations in your community. If a movie theater is not available, consider contacting a college or public school in your area, each of which may have auditoriums where you can show the film. You can also consider transforming a large room in a hotel, community center or library into a movie theater. Local businesses may also allow members of the community to use their large conference rooms.

Planning tips:

- ✓ When approaching your local cinema, be prepared to make the case for why the theater should screen “Tricks of the Trade: Outsmarting Investment Fraud” for free. Explain that you are looking to hold a viewing of a movie focused on investment fraud prevention—an important issue today—and would like to request use of space to show this film for free. Provide a copy of the DVD for the general manager to review. Some movie theaters only accept 16-millimeter (mm) film or Digital Betacam formats. If your theater requires either of these formats, please contact the FINRA Investor Education Foundation at (202) 728-6964 to obtain “Tricks of the Trade: Outsmarting Investment Fraud” in an alternate format.
- ✓ Identify speakers who could respond to the film and answer questions from the audience. To identify fraud prevention experts, contact your State Securities Regulator, Attorney General, State Treasurer, Secretary of State or State Police.
- ✓ In advance of the event, hold a meeting to brief all speakers about the event agenda and speaking roles on the day of the event. If you will invite reporters to cover the event, make sure that speakers are comfortable conducting interviews.
- ✓ Publicize the event widely. Ask your local cinema to publicize the screening using posters and fliers. If you are working with partner organizations, ask them to publicize the event through any internal or external newsletters and e-mail listservs that reach community members ages 55 and older. Have partners place event information on their Web sites. Distribute fliers and posters to local businesses to publicize the event.
- ✓ Consider reaching out to local television, newspapers and radio stations to let them know about the event. Ask whether they will post a calendar listing and invite them to attend. See the **Event Planning Templates and Materials** section for a template of the community calendar listing and media outreach templates.
- ✓ On the day/night of the screening, bring: (1) a few copies of the DVD; (2) copies of the agenda; (3) giveaway materials, such as “Fighting Fraud 101” brochures; and (4) information about where individuals can order their own copy. You’re all set!