

FINRA Investor Education Foundation Event Planning Tips



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SaveAndInvest.org

FINRA
Investor Education
FOUNDATION

EVENT PLANNING TIPS

As part of our investor protection campaign, the FINRA Investor Education Foundation offers our [research-based materials](#) to community organizations like yours that plan to host investor protection events.

What does an investor protection event look like? It's up to you. It could be a workshop with five people or an event for 300. It can be planned by a single person or a network of community organizations.

In short, an event can be as large or as small as your time and resources allow. What matters is that the event delivers the right messages and provides information that people can use to protect themselves from investment fraud.

What type of event should I plan?

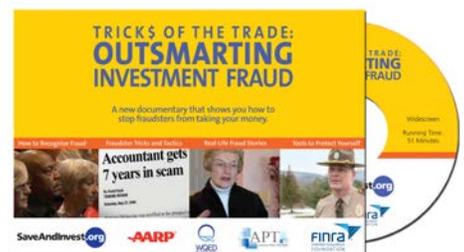
- ❑ **A small event for audiences of five to 25.** Events for a small group of people are a great way to share fraud-prevention messages. Consider screening our **“Trick\$ of the Trade: Outsmarting Investment Fraud”** documentary in an informal setting like a library or community center—or even someone's home. If you have connections to civic or membership organizations, such as a Rotary Club, ask leaders if you can screen the documentary or share the **Outsmarting Investment Fraud curriculum** during a monthly meeting.
- ❑ **A large event for audiences of 25 or more.** While events with larger audiences may take more time to plan and may require a larger budget, you'll be able to share the “Ask and Check” message with a wider network of investors. You'll need time to find a location to accommodate a larger group and publicize the event throughout the community, particularly if the event will be open to the public. You could screen the documentary at a local movie theater or present the documentary or Outsmarting Investment Fraud curriculum at a school auditorium or large community center meeting room.

What materials are available?

In addition to the materials below, you can order printed materials, including Fighting Fraud brochures, event posters, postcards and other giveaways with the [Outsmarting Investment Fraud Toolkit: Materials Order Form](#).

“Trick\$ of the Trade: Outsmarting Investment Fraud”

- ❑ **What is it?** A free, hour-long documentary on preventing investment fraud. Developed by the FINRA Foundation in partnership with AARP and seen on PBS stations nationwide, this DVD uses stories of victims and perpetrators to uncover the persuasion tactics that cons use to defraud their victims. It also provides basic steps investors can take to defend against fraud. The program is also available in a condensed, 30 minute format for use by partners.
- ❑ **Are there companion materials?** Yes. The FINRA Foundation has developed discussion questions as a guide to facilitate a question-and-answer session after a viewing. (See page 7.)
- ❑ **Where can I get it?** Watch the trailer and order copies of the DVD at www.SaveAndInvest.org/TricksOfTheTrade.



Outsmarting Investment Fraud Curriculum

- ❑ **What is it?** Developed by experts in the field of fraud and persuasion, this curriculum combines a moderated PowerPoint presentation with hands-on learning activities, including an investor risk quiz, video clips and persuasion spotting exercises. The program centers on three pillars: understanding risk; recognizing persuasion; and knowing prevention strategies.
- ❑ **Are there companion materials?** The program is available in either 30- or 60-minute versions and with or without video. For presenters without audiovisual resources, you may request a hard-copy flip chart of the presentation. We've also developed a risk quiz that your audience can fill out before the presentation.
- ❑ **Where can I get it?** Your organization may be eligible to use the curriculum and related materials at your events. To see if you qualify, please contact the FINRA Foundation at (202) 728-6964 or InvestorEducation@finra.org. Since this is an educational program, note that one criteria for eligibility is ensuring that no sales presentations will be permitted during the program or on the premises.

Handouts and Print Resources

- ❑ **What are they?** FINRA and the FINRA Foundation offer a variety of brochures, investor alerts and handouts that are ideal for you to distribute to your audience. One key publication is **Fighting Fraud 101** (also available at www.SaveAndInvest.org/Fraud101), a brochure that explains the tactics fraudsters use and steps to protect oneself. We also offer investor alerts on a range of topics in both PDF and hardcopy. Templates for **event posters** and **postcards** may be tailored to your event and shared throughout your community. Giveaway items like **notepads**, **pens** and **playing cards**—a standard deck with a different fraud-fighting message on each card—can reinforce important fraud-prevention messages.
- ❑ **How can I use them?** Hand out the brochures and giveaways at local community events or leave them at community centers, libraries, houses of worship and local businesses for people to pick up.
- ❑ **Where can I get them?** Order them with the [Outsmarting Investment Fraud Toolkit: Materials Order Form](#)



Step-by-step guide to planning your event

Whatever type of event your organization decides to plan, these steps will help guide you.

Step 1: Plan

- ❑ **Decide on the type of event.** Before worrying about specifics, consider your organization's resources. How much time do you have to plan? What is the available budget? How many people do you think will participate? The less time and funding available, the smaller the event should be.
- ❑ **Select the event location, date and time.** Now that you've chosen the type of your event, it's time to choose a location. Your organization may be able to accommodate a small group at your office, library or community center meeting room. If you need more room, look for venues with an auditorium. Plan a date and time when most community events are held: weekday evenings or weekends.
- ❑ **Set the agenda.** If you plan to screen the documentary, aim for a 90-minute program, which will allow for a discussion afterwards. The curriculum material can be covered in either 30 or 60 minutes, but it's a good idea to leave extra time for questions.

Step 2: Invite

For smaller events, you could:

- ❑ **Email contacts, mail them invitations or call them directly** if you have an existing relationship.
- ❑ If presenting to civic or membership organizations, **request that organization leaders invite members** by sending out an email or posting information in a newsletter or on their website.
- ❑ Post invitations to the event on Facebook or Twitter, being sure to link back to www.SaveAndInvest.org/FraudCenter.



If you are planning a large event:

- ❑ **Order event posters and postcards** online from the FINRA Foundation, which you can tailor and distribute to the public at community events and centers, libraries and other public places.
- ❑ **Include Foundation messaging in social media posts**—such as Facebook, LinkedIn and Twitter—leading up to the event (see the sample editorial calendar below for how to integrate FINRA Foundation messaging into your social media editorial calendar).

Sample Social Media Editorial Calendar

Week 1				
Monday	Tuesday	Wednesday	Thursday	Friday
	<i>Tip Tuesday (Post one of the FINRA Foundation's fraud protection tips)</i>		<i>Your organization's content</i>	
Week 2				
Monday	Tuesday	Wednesday	Thursday	Friday
		<i>Your organization's content</i>		<i>Fraud Flag Friday (Teach your followers about a red flag of investment fraud)</i>

- ❑ **Submit a calendar listing in your local newspaper** about the event.

Sample Calendar Listing

Learn how to spot and avoid investment fraud. On **[DATE]** from **[TIME]**, **[ORGANIZATION NAME]** will host a free **[EVENT TYPE]** at the **[LOCATION]**. Visit **[WEBSITE]** or call **[PHONE NUMBER]** to let us know if you're coming and for more information!

- ❑ **Consider contacting media outlets** and asking them to include a community calendar listing in the newspaper or online. Use or adapt the following template to reach out to community calendar editors at newspapers or websites.

Community Calendar Listing Email

[DATE]

Dear [COMMUNITY CALENDAR EDITOR]:

On [DATE] from [TIME], [ORGANIZATION NAME] will host a free [EVENT TYPE] at the [LOCATION]. During this forum, investors will learn:

- Key questions to ask before making any investment decision
- How to verify the legitimacy of investment products and professionals
- Common tactics fraudsters use and how to avoid them

Investment fraud affects thousands of Americans and accounts for billions in lost savings every year. And regardless of age or circumstance, anyone with money is bound to hear from a fraudster at some point. But the good news is there are simple steps every investor can take to protect their finances and family before making any investment decision.

This is an educational program—no sales presentations will be permitted during the program or on the premises.

Please include the following notice in your community calendar listing. I will follow up with you in the next few days, but if you have questions in the meantime, please contact me at [PHONE NUMBER].

Thank you for your consideration of this request.

[NAME, TITLE]

Step 3: Prepare

Once you have distributed invitations, you'll need to make final preparations for the event.

- ❑ **Find out if your meeting space has audiovisual equipment.** This will determine whether you will be able to screen the documentary. If you will present the Outsmarting Investment Fraud curriculum, knowing the audiovisual capabilities will let you know whether to present the version with or without video. For instance, the use of video will require not only a projector, but also an audio hookup that feeds into a sound system.
- ❑ **Order materials from the FINRA Foundation.** Make sure to leave 10 business days to receive the materials needed for your event.
 - ✓ Order DVD copies of the documentary (one to play and a giveaway for each participant) at www.SaveAndInvest.org/TricksoftheTrade. Use our discussion question on the next page.
 - ✓ Order brochures, quizzes and giveaways with the [Outsmarting Investment Fraud Toolkit: Materials Order Form](#)
 - ✓ If you are intending to deliver the Outsmarting Investment Fraud curriculum (a PowerPoint program that you will lead), contact the FINRA Foundation well in advance to request a copy of the curriculum materials at (202) 728-6964 or InvestorEducation@finra.org.
- ❑ If you will be hosting the event for a civic or membership organization with other community partners, **consider asking the partners to co-host with your organization.** If you're showing the documentary, this could mean having the partner organizations co-facilitate the discussion. If presenting the curriculum, a partner could give opening remarks.
- ❑ **Confirm R.S.V.P.s.** You should ensure you have sufficient materials and space for all attendees. Consider following up with registrants a few days in advance to reconfirm their attendance.

Step 4: Host and Follow Up

- ❑ **Designate someone to take pictures** at the event to share on social media. Be sure you're connected to the FINRA Foundation Facebook page at www.facebook.com/FINRAFoundation and on Twitter at www.twitter.com/FINRAFoundation to increase your reach.
- ❑ **Thank any co-presenters** or other people or organizations who helped immediately following the event.

“TRICKS OF THE TRADE: OUTSMARTING INVESTMENT FRAUD” DOCUMENTARY

Discussion Questions

The “Tricks of the Trade: Outsmarting Investment Fraud” DVD may be used for in-home viewing or for a community gathering. Consider contacting a library, church, college or public school in your area, each of which may have auditoriums where you can show the film. Or consider holding a “movie premiere” to screen the movie at a local cinema, followed by a question and answer session that could be led by you or a panel of local experts.

The following questions can serve as a guide in facilitating a group discussion:

1. What do you find the most surprising about the victim demographic trends?
2. Have you or someone you know been a victim of investment fraud?
3. Are any of these persuasion tactics familiar?
4. Give some examples of how these tactics show up in your everyday life.
5. Raise your hand if you have ever received an invitation to a free lunch or dinner investment seminar.
6. How many of you are signed up for the Do Not Call list?
7. Do you have a refusal script? Will you share it with the group?
8. Have you ever checked the registration status or disciplinary history of an investment professional with FINRA or your state securities regulator before doing business with them?
9. Have you ever checked the registration status of an investment product with the Securities and Exchange Commission or your state securities regulator before purchasing the investment?
10. What questions would you ask of a salesperson who was pitching you an unsolicited investment?
11. Do you know someone else who could benefit from this information?