

**FREE EVENT!**

October 10, 2019

South Burlington, VT



# What Every Investor Needs to Know

Smart Investing in Today's Environment

Join FINRA and Special Guest **Vermont Financial Regulation Commissioner Mike Pieciak** as we discuss current investing and regulatory issues.

## What you'll learn:

- ▶ Basic investing principles.
- ▶ Where to turn for free, unbiased investing tools and information.
- ▶ How to avoid unnecessary risks and common investing pitfalls.
- ▶ How FINRA helps protect and educate investors.

## Details:

- ▶ **Delta Hotels by Marriott Burlington**  
1117 Williston Rd  
South Burlington, VT 05403
- ▶ **Thursday, October 10, 2019**  
**Buffet Dinner:** 5:30 – 6:00 p.m.  
**Program:** 6:00 – 8:00 p.m.

There is **no charge** for the program or dinner.

## Register:

1. **Go to:**  
[www.finra.org/investorforum/south-burlington](http://www.finra.org/investorforum/south-burlington)  
**or**
2. **Call: (202) 728-8137**

*This is an educational program, and no sales materials or presentations will be permitted during the program or on the premises.*

## Why attend?

- ▶ **Knowledge is power:** We believe that understanding should precede investing—and that education is often the best form of investor protection.
- ▶ **Unbiased information:** We offer free, objective information and tools to help you evaluate investment products and professionals.
- ▶ **Learn from top officials:** Investor Forums bring the investing public together with FINRA officials and state regulators to discuss a range of investing topics.
- ▶ **Question-and-answer session:** Speakers will also answer audience questions.

## About FINRA

FINRA is a not-for-profit organization dedicated to investor protection and market integrity. It regulates one critical part of the securities industry – brokerage firms doing business with the public in the United States. FINRA, overseen by the SEC, writes rules, examines for and enforces compliance with FINRA rules and federal securities laws, registers broker-dealer personnel and offers them education and training, and informs the investing public. In addition, FINRA provides surveillance and other regulatory services for equities and options markets, as well as trade reporting and other industry utilities. FINRA also administers a dispute resolution forum for investors and brokerage firms and their registered employees. **For more information, visit [www.finra.org](http://www.finra.org).**

**FINRA**®

Learn more and sign up today at: [www.finra.org/investorforum/south-burlington](http://www.finra.org/investorforum/south-burlington)