



*Celebrating 50
Years!*

ANNUAL EDUCATIONAL CONFERENCE 2025
The Ritz-Carlton New Orleans
June 1-4

ARM Celebrates 50 years!

AGENDA - Preliminary

Sunday, June 1

Conference Gala Opening

***Black Tie Optional! Mardi Gras Masks
Encouraged!***

6:00 PM – Cocktail Reception
Courtyard (Lobby)
Sponsored By Securities Training Corporation

7:30 PM – Conference Celebratory Dinner/Dance
Lafayette Ballroom
Dinner Entertainment Sponsored by Cerifi

Monday, June 2

Conference Wi-Fi Sponsored by Exchange Analytics

8:00 AM – 9:00 AM CONFERENCE REGISTRATION TABLE OPENS

9:00 AM – 12:30 PM *FINRA Workshops & Outreach Sessions

**Attendance at these FINRA Session(s) are for conference registrants only
Watch our site for a link to reserve your seat – NO walk-ins permitted.
See final page for session descriptions.*

9:00 AM – 11:00 AM Exhibitor Set-Up

Noon – 1:00 PM CONFERENCE REGISTRATION & EXHIBITOR SHOWCASE OPEN

1:00 PM – 2:30 PM Opening Luncheon/President's Welcome & Recognitions

2:45 PM – 4:00 PM FINRA Session One - Registration, Continuing Education, and Qualifications Compliance Best Practices

This session will explore the latest in best practices across critical areas of compliance, reporting, continuing education, disclosure review, and much more. The panel will dive into practical tips for mitigating risk and streamlining compliance.

4:00 PM – 5:00 PM [Networking Reception \(Library Courtyard\)](#)

Dinner on own to catch up with peers

Tuesday, June 3

7:30 AM – 8:30 AM ***Breakfast Buffet/Registration Desk Open***
Sponsored with Exchange Analytics

8:00 AM – 4:30 PM **Exhibitor Showcase Opens** – Canal Hallway

8:30 AM – 9:00 AM **Welcome Remarks from Commissioner Scott Jolly, LA**

9:00 AM – 10:15 AM **NASAA-State Regulatory Updates**

State regulators and NASAA staff will provide updates about NASAA's priorities, state regulatory initiatives, expungement, IAR CE and NASAA's Exam Validity Extension Program, and state enforcement and examination trends.

10:15 AM – 10:30 AM ***Networking Break***

10:30 AM – NOON **FINRA Session Two – Innovations and Key Initiatives on the Horizon at FINRA**

This panel will delve into ongoing and future initiatives and projects FINRA is focused on. FINRA staff will offer a comprehensive look at those projects to help you understand what's on the near, medium, and long-term horizon.

NOON – 1:00 PM ***Networking Luncheon***
Sponsored with Knopman Marks Financial Training

1:15 PM – 2:30 PM **Best Practices from the Vendor's Perspective**

This session will address common FAQs faced by registration professionals, including exam sequencing, waivers, and challenges candidates encounter when upgrading licenses. Discussion topics include best practices for passing key exams, differences between Series 65 and 66, student-reported difficult concepts, and the impact of AI on exam preparation. The session will also explore how learning habits have evolved in a social media-driven, post-COVID world and what that means for exam success. We will also provide an update on IAR CE; discussing best practices, feedback from participants in the program, FAQ's and the ability to apply IAR CE for professional designations.

2:30 PM – 3:00 PM ***Refreshment Break***
Sponsored with Capital Advantage Tutoring/Series7Exam

3:00 PM – 4:30 PM **Regulator Panel – Ask Me Anything!**

Back by popular demand! ARM is bringing together representatives from FINRA, NASAA, MSRB and NFA to take questions from us after today's presentations. This is a great opportunity to ask the experts for clarification on what is still causing us concern and confusion!

4:00 PM ***Exhibitor Showcase Closes for Day***

4:30 PM – 5:30 PM ***Networking Cocktail Reception (Grand Ballroom Foyer)***

6PM depart **Ghost Walking Tour or Historic Walking Tour**
Gathering Location at hotel TBA
Must be pre-reserved/ticket to attend!

Wednesday, June 4

8:00 AM – 11:00 AM	<i>Exhibitor Showcase Resumes</i>
7:30 AM – 9:00 AM	<i>Breakfast Buffet</i>
9:00 AM – 10:30 AM	<u>Round Tables with Regulators and Subject Matter Experts</u> Opportunity to meet one-on-one with SME's & peers to address unresolved questions.
10:30 AM – 10:45 AM	<i>Check out/Break</i>
10:45 AM – 11:45 AM	<u>Industry Only – You're Not Alone!</u> What's concerning you still? Confused about? Need guidance? Need a shoulder? Need ARM to follow-up? We can help each other!
11:45 - Noon	<u>ARM Annual Membership Meeting</u>
Noon	<u>Conference Closes</u>

Save the Date!

Conference 2026 – March 1-4 – Sarasota
Conference 2027 – March 9-10 - Sarasota

FINRA Outreach Program Sessions – Pre-Registration Required!

Watch our site at www.armgmt.org “events” for link to register

Monday, June 2

Workshop 1

TIME: 9:00 AM – 9:45 AM

Break - 9:45 – 9:50 AM

Workshop 2

TIME: 9:50 AM – 10:35 AM

Break 10:35 - 10:45 AM

Outreach Session

TIME: 10:45 AM – 12:00 PM