

MEMO# 22750

July 30, 2008

FINRA To Hold Free Business Continuity Planning Phone-In Workshop On September 18th From 2- 3:15 P.M. (Eastern)

[22750]

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TO: COMPLIANCE MEMBERS No. 35-08

TECHNOLOGY COMMITTEE No. 20-08 RE: FINRA TO HOLD FREE BUSINESS CONTINUITY PLANNING PHONE-IN WORKSHOP ON SEPTEMBER 18TH FROM 2- 3:15 P.M. (EASTERN)

FINRA has announced its plans to hold a free phone-in workshop on business continuity planning on September 18, 2008 from 2:00-3:15 p.m. (Eastern). According to FINRA's announcement of this workshop, recent events (e.g., the Midwest floods and California fires) have served as reminders of the importance of business continuity planning and testing. During the workshop, FINRA staff will be discussing business continuity resources, possible regulatory relief for FINRA's members during disaster recovery, and common deficiencies, including "technical pitfalls," identified during FINRA examinations. Industry compliance professionals will also share lessons they have learned from personal experience.

While the workshop will be focused on FINRA's members (i.e., broker-dealers) and inspections of them, it may include information of interest to mutual funds. The workshop is open to anyone who registers for it. To register, go to:

<http://www.finra.org/EducationPrograms/Phone-InWorkshops/index.htm>. Persons with questions relating to business continuity that they would like addressed during the workshop must submit them in advance through the registration process.

Tamara K. Salmon
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