

FINRA COVID 19 SAFETY ACKNOWLEDGMENT

Health and Safety Requirements for FINRA Conferences

FINRA is excited to return to in-person events—and over the coming months, we will continue to monitor and adhere to government, venue and health agency guidelines and recommendations as we plan our programs.

As part of our commitment to creating the safest possible environment for our in-person events, we will require all attendees and staff to:

- be fully vaccinated against COVID-19 (*i.e.*, at least two weeks has passed since they completed primary vaccination with a COVID-19 vaccine) or have an approved accommodation;
- complete a health questionnaire; and
- attest to testing negative to a rapid antigen COVID-19 test taken no more than 24 hours prior to the start of the conference.

In addition to the above criteria, we will implement a set of protocols to help foster a clean and safe meeting environment. Please note that while these precautions may evolve prior to each event, the following measures will be observed at a minimum:

- Increased cleaning and sanitizing of the event space.
- Decreased capacity and minimized congestion where possible across the venue.
- Touchless or reduced-contact interactions throughout the conference.

Frequently Asked Questions:

What is considered fully vaccinated?

For purposes of this guidance, people are considered fully vaccinated two weeks after completing primary vaccination with a COVID-19 vaccine. This includes two weeks after a second dose in a two-dose series, such as the Pfizer or Moderna vaccines, two weeks after a single-dose vaccine, such as the Johnson & Johnson vaccine, or two weeks after the second dose of any combination of two doses of different COVID-19 vaccines as part of one primary vaccination series.

Are COVID-19 booster shots required?

While we recommend a COVID-19 booster dose, it is not required at this time. We will continue to monitor guidance from public health organizations and may update the policy to require booster vaccinations as the situation evolves. We will communicate any changes as they are made.

What will be included in the health questionnaire?

The health questionnaire will require each participant to certify to the following to attend the conference.

- In the past 10 days, have you experienced any of these new or worsening symptoms? *Nausea, vomiting, diarrhea or loss of appetite, headaches, sore throat, severe muscle aches, fatigue*
- In the past 14 days, have you been diagnosed with COVID-19 or been asked to quarantine?

Will masks be required at FINRA-hosted in-person conferences?

In light of CDC's recently updated guidance on mask wearing, we are making it optional to wear an N95, KN95 or KF94 mask/respirator at FINRA conferences. However, we encourage attendees to wear a mask if they are, or someone in their home is, immunocompromised or at high risk for severe illness, or if they have a child who is 4 years of age or younger and thus is currently ineligible to receive a COVID-19 vaccine. We may implement a mask requirement as health and safety conditions dictate.

Will a negative COVID-19 test be required to attend a FINRA-hosted in-person conference?

In-person attendees will need to attest to testing negative to a rapid antigen COVID-19 test taken no more than 24 hours prior to the start of the conference.

Will physical distancing measures be in place at FINRA-hosted in-person conferences?

While many venues are not currently requiring physical distancing, FINRA will provide physically distant seating and event space set-up to allow those who wish to practice physical distancing to do so comfortably. Additionally, to help attendees communicate their level of comfort in interacting with one another, FINRA will provide all attendees with their choice of a color-coded bracelet to represent that comfort level:

- Red – Greet from six feet
- Yellow – Elbows only
- Green – Handshakes and high-fives

Will any other safety measures be in place?

When attending our events, we ask that you follow general precautionary practices, which include:

- Shield your coughs or sneezes with a tissue, then throw the tissue in the trash; if a tissue is not available, use your sleeve.
- Wash your hands regularly with soap and water, for at least 20 seconds.
- Avoid touching your eyes, nose, and mouth.

- Avoid close contact with people who are sick.
- Stay home if you are feeling ill.

Will you permit someone who has an approved accommodation for the COVID-19 vaccination to attend a FINRA meeting in person?

FINRA will provide reasonable accommodations for the COVID-19 vaccine requirement in accordance with applicable law. Those who would like to request an accommodation should email this [form](#) to conreg@finra.org. These individuals will be required to test negative daily to a rapid antigen test on site.