

| Sunday, July 16 | TIMES | Monday, July 17 | Tuesday, July 18 | Wednesday, July 19 | Thursday, July 20 | Friday, July 21 |
|--|---|--|---|--|---|---|
| | 8:00 a.m. – 8:50 a.m. | Breakfast | Breakfast | Breakfast | Breakfast | Breakfast |
| <p>ACCOMMODATIONS: The Ven at Embassy Row, 2015 Massachusetts Ave., N.W., Washington, DC 20036 202-265-1600</p> <p>MEALS: Faculty Club Restaurant</p> <p>CLASSROOM: McDonough School of Business Rafik B. Hariri Building 4th Floor, Room 450 37th and O Streets Washington, DC 20057</p> <p>ACADEMIC DIRECTOR: Professor James Angel</p> <p>PROGRAM MANAGER: Gloria Carls</p> <hr/> <p>This schedule is subject to change.</p> | 8:50 a.m. – 9:00 a.m. | <p>Program Mission: • <i>Susanne Goldsmith</i></p> <p>Program Logistics: • <i>Gloria Carls</i></p> <p>Program Introduction: • <i>Professor James Angel</i></p> | <p>Group Exercise Overview • <i>James Angel</i></p> | <p>Group Exercise Overview • <i>James Angel</i></p> | <p>Group Exercise Overview • <i>James Angel</i></p> | <p>Group Exercise Overview • <i>James Angel</i></p> |
| | 9:00 a.m. – 10:30 a.m. | <p>SESSION 1: Fundamentals of Financial Regulation • <i>James Angel</i></p> | <p>SESSION 5: Exempt Offerings and Resales I • <i>Lisa Fairfax</i></p> | <p>SESSION 9: Broker-Dealer Regulation: Reg BI and Form CRS • <i>James Fanto</i> • <i>James Wrona</i></p> | <p>SESSION 13: Communications With the Public: Advertising and Social Media • <i>James Fanto</i> • <i>Amy Sochard</i></p> | <p>SESSION 17: FinTech 101 • <i>John Jacobs</i></p> |
| | 10:30 a.m. – 10:45 a.m. | Break | Break | Break | Break | Break |
| | 10:45 a.m. – 12:15 p.m. | <p>SESSION 2: Securities Exchange Act I • <i>Donald Langevoort</i></p> | <p>SESSION 6: Exempt Offerings and Resales II • <i>Lisa Fairfax</i></p> | <p>SESSION 10: Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance • <i>James Fanto</i> • <i>Tina Tambiah</i></p> | <p>SESSION 14: Broker-Dealer Regulation: Supervision • <i>James Fanto</i> • <i>Kosha Dalal</i></p> | <p>SESSION 18: Pro-active Management: Emerging Trends in Financial Markets and Regulation • <i>James Angel</i></p> |
| | 12:15 p.m. – 1:30 p.m. | Lunch/Group Photo | Lunch | Lunch | Lunch | Lunch |
| | 1:30 p.m. – 3:00 p.m. | <p>SESSION 3: Securities Exchange Act II • <i>Donald Langevoort</i></p> | <p>SESSION 7: Public Offerings and Civil Liabilities I • <i>Donald Langevoort</i></p> | <p>SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) • <i>James Fanto</i> • <i>Bonnie Gauch</i></p> | <p>SESSION 15: Market Structure • <i>James Angel</i></p> | <p>ASSESSMENT 1:00 p.m. – 3:30 p.m.</p> |
| | 3:00 p.m. – 3:15 p.m. | Break | Break | Break | Break | |
| | <p>Registration and Welcome Reception 5:00 p.m. – 7:00 p.m.</p> | 3:15 p.m. – 4:45 p.m. | <p>SESSION 4: Diversity, Equity and Inclusion • <i>Ella Washington</i></p> | <p>SESSION 8: Public Offerings and Civil Liabilities II • <i>Donald Langevoort</i></p> | <p>SESSION 12: Effective Communications Within the Firm • <i>Jeanine Turner</i></p> | <p>SESSION 16: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income • <i>James Angel</i></p> |
| 4:45 p.m. – 5:00 p.m. | | Break | Break | Break | Break | |
| 5:00 p.m. – 6:00 p.m. | | Group Exercise | Group Exercise | Group Exercise | Group Exercise | |
| 6:00 p.m. – 8:30 p.m. | | Off-Campus Dinner | Dinner and Guest Speaker—The Hon. Mark T. Uyeda, Commissioner, SEC | Dinner | Dinner | |