



FINRA Institute at Georgetown
 Certified Regulatory and Compliance Professional (CRCP) Program
 Week I | July 21 – 26, 2019

Sunday, July 21	TIMES	Monday, July 22	Tuesday, July 23	Wednesday, July 24	Thursday, July 25	Friday, July 26
		Breakfast 7:45 – 8:45 a.m.	Breakfast 8:00 – 9:00 a.m.	Breakfast 8:00 – 9:00 a.m.	Breakfast 8:00 – 9:00 a.m.	Breakfast 8:00 – 9:00 a.m.
<p>ACCOMMODATIONS: Georgetown University Hotel and Conference Center 3800 Reservoir Rd NW, Washington, DC 20057 Phone: (202) 687-3200</p> <p>MEALS: Faculty Club Restaurant</p> <p>CLASSROOM: McDonough School of Business Rafik B. Hariri Building, 4th Floor Room 450</p> <p>ACADEMIC DIRECTOR: Professor James Angel</p> <p>PROGRAM MANAGER: Sarah Tillotson</p> <p>This schedule is subject to change.</p>	9:00 a.m. – 10:30 a.m.	<p>8:45 a.m. – 9:00 a.m. Program Mission:</p> <ul style="list-style-type: none"> Patricia Albrecht <p>Program Logistics:</p> <ul style="list-style-type: none"> Sarah Tillotson <p>Program Introduction:</p> <ul style="list-style-type: none"> James Angel 	<p>SESSION 5: Exempt Offerings and Resales I</p> <ul style="list-style-type: none"> Lisa Fairfax 	<p>SESSION 9: Broker-Dealer Regulation: Suitability in a Best Interest World</p> <ul style="list-style-type: none"> James Fanto James Wrona 	<p>SESSION 13: Communications With the Public: Advertising and Social Media</p> <ul style="list-style-type: none"> James Fanto Amy Sochard 	<p>SESSION 17: FinTech 101</p> <ul style="list-style-type: none"> John Jacobs
	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</p> <ul style="list-style-type: none"> Donald Langevoort 	<p>SESSION 6: Exempt Offerings and Resales II</p> <ul style="list-style-type: none"> Lisa Fairfax 	<p>SESSION 10: Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance</p> <ul style="list-style-type: none"> James Fanto 	<p>SESSION 14: Broker-Dealer Regulation: Supervision</p> <ul style="list-style-type: none"> James Fanto Patricia Albrecht 	<p>SESSION 18: Pro-active Management: Emerging Trends in Financial Markets and Regulation</p> <ul style="list-style-type: none"> James Angel
	12:15 p.m. – 1:30 p.m.	Lunch/Group Photo	Lunch	Lunch	Lunch	Lunch 12:15 – 1:00 p.m.
	1:30 p.m. – 3:00 p.m.	<p>SESSION 3: Securities Exchange Act II</p> <ul style="list-style-type: none"> Donald Langevoort 	<p>SESSION 7: Public Offerings and Civil Liabilities I</p> <ul style="list-style-type: none"> Urska Velikonja 	<p>SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital)</p> <ul style="list-style-type: none"> James Fanto Bonnie Gauch 	<p>SESSION 15: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income</p> <ul style="list-style-type: none"> James Angel 	<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: Market Structure</p> <ul style="list-style-type: none"> James Angel 	<p>SESSION 8: Public Offerings and Civil Liabilities II</p> <ul style="list-style-type: none"> Urska Velikonja 	<p>SESSION 12: Leadership: Effective Communications Within the Firm</p> <ul style="list-style-type: none"> Jeanine Turner 	<p>SESSION 16: Leadership: Building an Effective as well as Cost-Effective Compliance Culture</p> <ul style="list-style-type: none"> Ed Soule 	<p>Thank you for attending. Safe Travels!</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. – 8:00 p.m.	Off-Campus Dinner	Dinner and Guest Speaker: Robert Cook, President and Chief Executive Officer, FINRA	Dinner	Dinner	