

Sunday, November 14	TIMES	Monday, November 15	Tuesday, November 16	Wednesday, November 17	Thursday, November 18	Friday, November 19
		Breakfast 7:30 – 8:50 a.m.	Breakfast 7:30 – 8:50 a.m.	Breakfast 7:30 – 8:50 a.m.	Breakfast 7:30 – 8:50 a.m.	Breakfast 7:30 – 8:50 a.m.
ACADEMIC DIRECTOR: Professor James Angel PROGRAM MANAGER: Binita Raval This schedule is subject to change.	8:50 a.m. – 9:00 a.m.	Program Mission: <ul style="list-style-type: none">• Patricia Albrecht Program Logistics: <ul style="list-style-type: none">• Binita Raval Program Introduction: <ul style="list-style-type: none">• James Angel	Group Exercise Overview <ul style="list-style-type: none">• James Angel	Group Exercise Overview <ul style="list-style-type: none">• James Angel	Group Exercise Overview <ul style="list-style-type: none">• James Angel	Group Exercise Overview <ul style="list-style-type: none">• James Angel
	9:00 a.m. – 10:30 a.m.	SESSION 1: Fiduciary Strikes Back <ul style="list-style-type: none">• James Angel	SESSION 5: Crowdfunding and Funding Portals <ul style="list-style-type: none">• Elliot Henslovitz• James Murphy	SESSION 9: Anti-Money Laundering Regulations I <ul style="list-style-type: none">• Sarah Green• Tim O'Neal Lorah	SESSION 13: Fitting FinTech into the Financial Regulatory Framework: What's Different and What's the Same <ul style="list-style-type: none">• James Angel	SESSION 17: Cyber-Threats <ul style="list-style-type: none">• Gilles Hilary• David Kelley
	10:30 a.m. – 10:45 a.m.	Break	Break	Break	Break	Break
	10:45 a.m. – 12:15 p.m.	SESSION 2: Leadership: Negotiation Skills for Compliance Professionals <ul style="list-style-type: none">• Douglas McCabe	SESSION 6: Municipal Securities Regulation <ul style="list-style-type: none">• Cindy Friedlander• Gail Marshall	SESSION 10: Anti-Money Laundering Regulations II <ul style="list-style-type: none">• Sarah Green• Tim O'Neal Lorah	SESSION 14: Broker-Dealer Arbitration Proceedings <ul style="list-style-type: none">• James Angel• Richard Berry	SESSION 18: Cyber-Security <ul style="list-style-type: none">• Gilles Hilary• David Kelley
	12:15 p.m. – 1:30 p.m.	Lunch/Group Photo	Lunch	Lunch	Lunch	Lunch 12:15 p.m.– 1:00 p.m.
	1:30 p.m. – 3:00 p.m.	SESSION 3: Leadership: Negotiation Simulation <ul style="list-style-type: none">• Douglas McCabe	SESSION 7: Foreign Markets and Securities Regulation I: Miffed about MiFID? (EU and UK) <ul style="list-style-type: none">• James Angel	SESSION 11: SEC and FINRA Enforcement <ul style="list-style-type: none">• Urska Velikonja• Jessica Hopper	SESSION 15: Investment Adviser Regulation <ul style="list-style-type: none">• James Angel	ASSESSMENT 1:00 p.m. – 3:30 p.m.
	3:00 p.m. – 3:15 p.m.	Break	Break	Break	Break	
Welcome Reception 5:00 p.m. – 7:00 p.m.	3:15 p.m. – 4:45 p.m.	SESSION 4: Leadership: Building Teams and Managing Conflicts <ul style="list-style-type: none">• Hillary Sale	SESSION 8: Foreign Markets and Securities Regulation II: Asia and More/Considering Canada and the Snowbirds <ul style="list-style-type: none">• James Angel	SESSION 12: Customer Protection Rule: Clearing and Custody <ul style="list-style-type: none">• James Angel• John McKissick	SESSION 16: Insider Trading <ul style="list-style-type: none">• James Angel	Thank you for attending.
	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.	Dinner	Dinner and Guest Speaker: Robert Cook, CEO, FINRA	Dinner	Dinner	