

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