



**FINRA Institute at Georgetown**  
 Certified Regulatory and Compliance Professional (CRCP) Program  
 Week II | November 17–22, 2019

Sunday, November 17	TIMES	Monday, November 18	Tuesday, November 19	Wednesday, November 20	Thursday, November 21	Friday, November 22	
<p><b>ACCOMMODATIONS:</b>            Georgetown University Hotel and Conference Center            3800 Reservoir Rd NW, Washington, DC 20057            Phone: (202) 687-3200</p> <p><b>MEALS:</b>            Faculty Club Restaurant</p> <p><b>CLASSROOM:</b>            McDonough School of Business            Rafik B. Hariri Building, 4th Floor            Room 450</p> <p><b>ACADEMIC DIRECTOR:</b>            Professor James Angel</p> <p><b>PROGRAM MANAGER:</b>            Sarah Tillotson</p> <p><b>This schedule is subject to change.</b></p>	9:00 a.m. – 10:30 a.m.	<b>8:30 a.m. – 9:00 a.m.</b> <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>Sarah Tillotson</li> </ul> <b>Program Introduction:</b> <ul style="list-style-type: none"> <li>James Angel</li> </ul>	<b>SESSION 5:</b> Municipal Securities Regulation <ul style="list-style-type: none"> <li>Gail Marshall</li> <li>Cindy Friedlander</li> </ul>	<b>SESSION 9:</b> Ethics in the Financial Services Industry <ul style="list-style-type: none"> <li>Ed Soule</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> Privacy and Data Protection <ul style="list-style-type: none"> <li>Gilles Hilary</li> <li>David Kelley</li> </ul>	
		<b>SESSION 1:</b> 9:00 a.m. – 10:30 a.m. Fiduciary Strikes Back <ul style="list-style-type: none"> <li>James Angel</li> </ul>					
	10:30 a.m. – 10:45 a.m.	Break	Break	Break	Break	Break	Break
	10:45 a.m. – 12:15 p.m.	<b>SESSION 2:</b> Insider Trading <ul style="list-style-type: none"> <li>James Angel</li> </ul>	<b>SESSION 6:</b> Crowdfunding Without Crowdfleeing <ul style="list-style-type: none"> <li>Christopher J. Brummer</li> <li>Alissa Robinson</li> </ul>	<b>SESSION 10:</b> Leading for Ethical Performance <ul style="list-style-type: none"> <li>Ed Soule</li> </ul>	<b>SESSION 14:</b> Broker-Dealer Arbitration Proceedings <ul style="list-style-type: none"> <li>James Angel</li> <li>Rick Berry</li> </ul>	<b>SESSION 18:</b> Cybersecurity <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	Lunch 12:15 – 1:00 p.m.
	1:30 p.m. – 3:00 p.m.	<b>SESSION 3:</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 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>Susan Schroeder</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		
	3:15 p.m. – 4:45 p.m.	<b>SESSION 4:</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 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> Leadership: Building Teams and Managing Conflicts <ul style="list-style-type: none"> <li>Hillary Sale</li> </ul>	<b>Thank you for attending. Safe Travels!</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.	Off-Campus Dinner	Dinner	Dinner and Guest Speaker: <i>The Hon. Robert J. Jackson Jr., Commissioner, SEC</i>	Dinner			