Certified Regulatory and Compliance Professional (CRCP) Program
The Securities Industry’s Leading Executive Program for Compliance Professionals
Become a Certified Regulatory and Compliance Professional Through the FINRA Institute at Wharton

Designed for high-potential personnel with executive-level aspirations, the FINRA® Institute at Wharton Certified Regulatory and Compliance Professional™ (CRCP™) program delivers a comprehensive and rigorous course of instruction on the foundation, theory and practical application of securities laws and regulations. The CRCP program draws on the expertise of Wharton faculty, senior regulators and industry practitioners, and brings together a diverse group of participants from securities firms, the legal profession, FINRA, the Securities and Exchange Commission and other regulators to provide a unique learning experience for participants.

Developed by FINRA, the largest independent regulator for all securities firms doing business in the United States, and the Wharton School, the nation’s first collegiate business school and leading provider of executive education, the CRCP program is the premier executive program designed specifically for securities industry regulatory and compliance professionals.

Participants who successfully complete the program are designated Certified Regulatory and Compliance Professionals by the FINRA Institute at Wharton.

The program is designed for:

- compliance professionals on a leadership track;
- high-potential regulatory, legal and compliance staff;
- business-line professionals with increasing compliance responsibilities; and
- state, federal and international regulators.

Participants benefit from:

- rigorous instruction on securities laws and the theory behind securities regulation;
- instructors from the Wharton School and the University of Pennsylvania Law School faculty, industry experts and regulators;
- learning alongside a diverse group of participants;
- networking relationships with industry peers and regulators; and
- the credibility that comes from earning the CRCP designation.

For more information, please call (800) 321-6273 or email CRCP@finra.org. You can also visit the website at www.finra.org/crcp.
Coursework at Wharton

Week I: Foundation | July 16 – 21, 2017
Participants gather on the Wharton School campus for intensive instruction, discussion and case studies, gaining a strong understanding of the foundation and application of the financial services industry rules and financial regulations.

Topics include:
- Supervisory practices and internal controls
- Ethical issues in the securities industry
- Suitability issues
- Securities law and regulatory structure

Week II: Capstone | November 12 – 17, 2017
Participants reconvene at Wharton for in-depth coursework that explores a series of advanced-level regulatory and compliance topics that help participants build on previous coursework covered during Week I.

Topics include:
- Privacy and data protection
- Anti-money laundering
- Books and records
- Communications with the public

Although coursework must be completed within two consecutive calendar years, completion in the same calendar year is recommended.

Pre-Course Work
Candidates are assigned materials to review in advance of Wharton coursework—including academic research conducted by Wharton faculty—as well as rules, regulations, case law and compliance and regulatory guidance.

Assessments
On the final day of the Week I and Week II courses, participants must complete a written assessment. Participants who pass both assessments are awarded the CRCP designation.

Continuing Education
Program graduates are required to complete 12 hours of continuing education every three years as of their certificate anniversary award date. The continuing education requirement helps ensure that graduates remain current on compliance topics, rules and regulations, and emerging issues in the financial services industry.
The benefits of the CRCP program extend well beyond completion of course requirements. The CRCP alumni network remains active through alumni events and programs. Through these activities, alumni have the ongoing opportunity to connect with former classmates, CRCP faculty—including Wharton professors, FINRA staff and other regulators—and industry peers.

**What Participants Say About the Program**

*The CRCP program has been a tremendous investment. I was part of the first group of graduates and am still actively applying the knowledge gained several years later.*

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I truly believe the training I received [through the CRCP program] helped prepare me for my current role. Additionally, I have received recognition from industry peers and other colleagues after receiving the certification.

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The professional instruction and personal interaction among financial professionals combined to make Wharton’s CRCP program a truly rewarding experience that provided critical insights into “Best Practices” for regulatory compliance. I benefit from what I learned during this program on a regular basis, and believe that dedicated investment compliance officers would also find the program to be an important element of professional development.
Registration & Fees

To register, complete the online form for either Week I Registration or Week II Registration. Online registration closes three days prior to the start of each course. You will receive an email confirmation of your registration shortly after completing the form. Please make sure your registration has been confirmed prior to your arrival onsite at the course. If you experience difficulties registering, please call (800) 321-6273 or contact us via email.

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<thead>
<tr>
<th>Week</th>
<th>Fees*</th>
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<tbody>
<tr>
<td>July 16 – 21, 2017</td>
<td>Member</td>
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<tr>
<td></td>
<td>Non-Member</td>
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<td>November 12 – 17, 2017</td>
<td>Government / Regulator</td>
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*Price includes registration fees, hotel accommodations, meals and materials.

Cancellation Policy

Refunds for registration, less a $75.00 processing fee, will be granted to written requests received 30 days or more prior to the start date of each course. A partial refund (50% registration fee, less a $75.00 processing fee) will be granted for written cancellation requests received within 30 days of the course start date.

Travel Disclaimer: FINRA suggests that you do not purchase restricted or non-refundable tickets for travel to a course. FINRA assumes no liability for penalties or fare increases should a course sell out or in the unlikely event that a course is cancelled or rescheduled for any reason.
Each year, the FINRA Small Firm CRCP Scholarship is awarded to three industry professionals from small firms—those with 150 or fewer registered representatives. FINRA developed the CRCP scholarship to facilitate participation from small firms for whom the cost of the program may be prohibitive. The scholarship covers full tuition and room and board for the entire program—travel and all other lodging expenses are the responsibility of the recipient.

Scholarships are awarded to both the individual and the firm, and are not transferable. Therefore, if a scholarship recipient leaves his or her firm for any reason, the CRCP scholarship is forfeited by both the individual and firm. If the individual moves to another small firm, the individual may reapply for a scholarship during the next scholarship selection period.

For additional information about the CRCP Scholarship Program, including eligible applicant criteria and the application and selection processes, visit our [website](#).
About FINRA and Wharton

FINRA Institute at Wharton
The FINRA Institute at Wharton was established by FINRA and the Wharton School in April 2000 to deliver executive education for financial services industry regulatory and compliance professionals. Since the program’s inception, more than 1,100 professionals have earned the CRCP designation.

www.finra.org/crcp/

FINRA
The Financial Industry Regulatory Authority is an independent, non-governmental regulator for all securities firms doing business with the public in the United States. Our core mission is to pursue investor protection and market integrity, and we carry it out by overseeing virtually every aspect of the brokerage industry. FINRA offers a wide range of compliance resources and educational programs to help firms and individuals acquire the knowledge they need to comply with rules and regulations.

www.finra.org

The Wharton School
Founded in 1881 as the first collegiate business school, the Wharton School of the University of Pennsylvania is recognized globally for intellectual leadership and ongoing innovation across every major discipline of business education. With a broad global community and one of the most published business school faculties, Wharton creates economic and social value around the world. The school has 5,000 undergraduate, MBA, executive MBA and doctoral students; more than 9,000 participants in executive education programs annually; and a powerful alumni network of 95,000.

http://www.executiveeducation.wharton.upenn.edu

“Participants will gain a broader understanding of capital market regulation and the developments in compliance and risk identification practices necessary to meet today’s challenges.”

Jill Fisch
CRCP Program Academic Co-Director Perry Golkin Professor of Law, Penn Law

If you’re interested in learning more about the CRCP program from instructors and participants, take a look at our videos located at www.finra.org/crcp.

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CRCP Video Series

If you’re interested in learning more about the CRCP program from instructors and participants, take a look at our videos located at www.finra.org/crcp.

“A joy for me in teaching in this program is to interact with regulators and private professionals in the same classroom when discussing new legal and ethical issues facing the securities industry. I think participants benefit from this unique mix as well.”

Eric W. Orts
Guardsmark Professor, Wharton School of the University of Pennsylvania, and Co-Academic Director, FINRA Institute at Wharton

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