

FINRA Institute at Wharton

Certified Regulatory and Compliance Professional (CRCP) Program Week 2

November 3 - 7, 2014



	Monday, November 03, 2014	Tuesday, November 04, 2014	Wednesday, November 05, 2014	Thursday, November 06, 2014	Friday, November 07, 2014
Meals and Classes: Steinberg Conference Center 255 South 38th Street Philadelphia, PA 19104 1.215.386.8300 (P) 1.215.573.3426 (F) Accommodations: Homewood Suites University City 4109 Walnut Street Philadelphia, PA 19104 1.215.382.1111 (P) Faculty Directors Jill Fisch Eric Orts For questions, please contact: Courtney Clarahan clarahan@wharton.upenn.edu +1.215.746.4301	Registration 7:30 - 8:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00
	Breakfast 7:30 - 8:30	9:00 - 10:30	9:00 - 10:30	9:00 - 10:30	9:00 - 10:30
	8:30 - 9:00 Program Mission: FINRA Program Logistics: Wharton Program Introduction: Jill Fisch	Session 5 Introduction to Financial Products <i>Krishna Ramaswamy</i>	Session 9 Hedge Funds <i>Jim Angel</i>	Session 13 Dodd-Frank <i>David Skeel</i>	Session 17 Privacy & Data Protection <i>John Walsh, Dennis Dickstein</i>
	9:00 - 10:30 Session 1 Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i>	Break 10:30 - 10:45	Break 10:30 - 10:45	Break 10:30 - 10:45	Break 10:30 - 10:45
	Break 10:30 - 10:45	10:45 - 12:15 Session 6 Financial Products II <i>Krishna Ramaswamy</i>	10:45 - 12:15 Session 10 Communications with the Public: FINRA Rule 2210 <i>James Fanto</i>	10:45 - 12:15 Session 14 Dodd-Frank <i>David Skeel</i>	10:45 - 12:15 Session 18 Anti-Money Laundering Regulations <i>Tim O'Neal Lorah, Sarah Green</i>
	10:45 - 12:15 Session 2 Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i>	Lunch 12:15 - 1:30	Working Lunch 12:15 - 1:30 Assignment	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30
	Lunch 12:15 - 1:30	1:30 - 3:00	1:30 - 3:00	1:30 - 3:00	1:30 - 3:30
	1:30 - 3:00 Session 3 Crowdfunding <i>Chris Brummer</i>	Session 7 Insider Trading <i>Jill Fisch</i>	Session 11 Books, Records, Reports & Sales Practice Compliance <i>James Fanto</i>	Session 15 Broker-Dealer Litigation, Arbitration & Enforcement Proceedings <i>Jill Fisch, Rick Berry</i>	Assessment
	Break 3:00 - 3:15	Break 3:00 - 3:15	Break 3:00 - 3:15	Break 3:00 - 3:15	Thank you for attending Wharton Executive Education Safe Travels!
	3:15 - 4:45 Session 4 International Financial Regulation <i>Chris Brummer</i>	3:15 - 4:45 Session 8 Market Regulation <i>Susan Tibbs, David Chapman</i>	3:15 - 4:45 Session 12 Foreign Markets & Securities Regulation <i>Jim Angel</i>	3:15 - 4:45 Session 16 Advanced Suitability: Case Simulation <i>Bob Mendelson</i>	
	Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	
	5:00 - 6:00 Homework	5:00 - 6:00 Homework	Reception 5:30-6:30 Dinner 6:30 -8:00 Speaker: Rick Ketchum FINRA Chairman and CEO	5:00 - 6:00 Homework Assessment Prep	
	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00		Dinner 6:00 - 8:00	