

Certified Regulatory and Compliance Professional (CRCP) Program Week 1
July 12 - 17, 2015



	Sunday, July 12, 2015	Monday, July 13, 2015	Tuesday, July 14, 2015	Wednesday, July 15, 2015	Thursday, July 16, 2015	Friday, July 17, 2015
<p>Meals and Classes: Steinberg Conference Center 255 South 38th Street Philadelphia, PA 19104 Phone: 215.386.8300 Fax: 215.573.3426</p> <p>Classroom: First Floor Amphitheater</p> <p>Faculty Directors: Eric Orts Jill Fisch</p> <p><u>For questions, please contact:</u> Meghan McPoyle mmcpoyle@wharton.upenn.edu</p>		<p>8:30 - 9:00 Breakfast 7:30 - 8:30</p> <p>Program Mission: Chip Jones Program Logistics: Wharton Program Introduction: Eric Orts 9:00 - 10:30</p> <p>Session 1</p> <p>Financial and Securities Regulation: An Overview</p> <p><i>Eric Orts</i></p> <p>Break 10:30 - 10:45</p> <p>10:45 - 12:15</p> <p>Session 2</p> <p>Public Offerings & Civil Liabilities</p> <p><i>Stephen Choi</i></p> <p>Class Photo & Lunch 12:15 - 1:30</p> <p>1:30 - 3:00</p> <p>Session 3</p> <p>Public Offerings & Civil Liabilities</p> <p><i>Stephen Choi</i></p> <p>Break 3:00 - 3:15</p> <p>3:15 - 4:45</p> <p>Session 4</p> <p>Enhancing Professional Conduct in the Financial Services Industry</p> <p><i>Eric Orts</i></p> <p>Break 4:45 - 5:00</p> <p>5:00 - 6:00 Homework</p> <p>Dinner 6:00 - 8:00</p>	<p>9:00 - 10:30</p> <p>Session 5</p> <p>Enhancing Professional Conduct in the Financial Services Industry</p> <p><i>Eric Orts</i></p> <p>Break 10:30 - 10:45</p> <p>10:45 - 12:15</p> <p>Session 6</p> <p>Exempt Offerings and Resales</p> <p><i>Jill Fisch</i></p> <p>Lunch 12:15 - 1:30</p> <p>1:30 - 3:00</p> <p>Session 7</p> <p>Exempt Offerings and Resales</p> <p><i>Jill Fisch</i></p> <p>Break 3:00 - 3:15</p> <p>3:15 - 4:45</p> <p>Session 8</p> <p>Business Ethics & Compliance</p> <p><i>Bill Laufer</i></p> <p>Break 4:45 - 5:00</p> <p>5:00 - 6:00 Homework</p> <p>Dinner 6:00 - 8:00</p>	<p>9:00 - 10:30</p> <p>Session 9</p> <p>Broker-Dealer Regulation: Suitability</p> <p><i>James Fanto , Jim Wrona</i></p> <p>Break 10:30 - 10:45</p> <p>10:45 - 12:15</p> <p>Session 10</p> <p>Selected Topics: Securities Exchange Act</p> <p><i>Jill Fisch</i></p> <p>Working Lunch 12:15 - 1:30 Homework Assignment</p> <p>1:30 - 3:00</p> <p>Session 11</p> <p>Selected Topics: Securities Exchange Act</p> <p><i>Jill Fisch</i></p> <p>Break 3:00 - 3:15</p> <p>3:15 - 4:45</p> <p>Session 12</p> <p>Capital Markets</p> <p><i>David Zaring</i></p> <p>Break 4:45 - 5:00</p> <p>Cocktail Reception 6:00 - 6:30</p> <p>Dinner 6:30-8:00 Speaker: Susan Axelrod FINRA EVP, Office of Regulatory Operations</p>	<p>9:00 - 10:30</p> <p>Session 13</p> <p>Ask the Regulators</p> <p><i>Jonathan Sokobin, Rich Hannibal Lourdes Gonzalez, Robert Kaplan Moderated by Eric Orts</i></p> <p>Break 10:30 - 10:45</p> <p>10:45 - 12:15</p> <p>Session 14</p> <p>Broker-Dealer Regulation: Supervision</p> <p><i>James Fanto, Kosha Dalal</i></p> <p>Lunch 12:15 - 1:30</p> <p>1:30 - 3:00</p> <p>Session 15</p> <p>Broker Dealer Regulation: Financial Responsibility and Managing Risks</p> <p><i>James Fanto</i></p> <p>Break 3:00 - 3:15</p> <p>3:15 - 4:45</p> <p>Session 16</p> <p>Introduction to Financial Products</p> <p><i>Krishna Ramaswamy</i></p> <p>Break 4:45 - 5:00</p> <p>5:00 - 6:00 Homework Assessment Prep</p> <p>Dinner 6:00 - 8:00</p>	<p>9:00 - 10:30</p> <p>Session 17</p> <p>Privacy & Data Protection</p> <p><i>John Walsh, Dennis Dickstein</i></p> <p>Break 10:30 - 10:45</p> <p>10:45 - 12:15</p> <p>Session 18</p> <p>Financial Products II</p> <p><i>Krishna Ramaswamy</i></p> <p>Lunch 12:15 - 1:30</p> <p>1:30 - 3:30</p> <p>Session 19</p> <p>Assessment</p> <p>Thank you for attending Wharton Executive Education</p> <p>Safe Travels!</p>