FINRA Institute at Wharton

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
	Sunday, July 12, 2015	Breakfast 7:30 - 8:30	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00
Meals and Classes:						
Steinberg Conference Center		8:30 - 9:00	9:00 - 10:30	9:00 - 10:30	9:00 - 10:30	9:00 - 10:30
		S	Session 5	Session 9	Session 13	Session 17
255 South 38th Street		Program Mission: Chip Jones				Drivery & Data Bastastica
Philadelphia, PA 19104 Phone: 215.386.8300		Program Logistics: Wharton	Enhancing Professional Conduct in the Financial Services Industry	5 1 5 1 5 1 6 6 7 1 7 7	A L (L D . L)	Privacy & Data Protection
Fax: 215.573.3426		Program Introduction: Eric Orts 9:00 - 10:30	Financial Services industry	Broker-Dealer Regulation: Suitability	Ask the Regulators	
Fax. 215.575.3426		9:00 - 10:30 Session 1			Jonathan Sokobin, Rich Hannibal	
Classroom:		Session 1			Lourdes Gonzalez, Robert Kaplan	Inter Walah Danaia Bialataia
First Floor Amphitheater		Financial and Securities Regulation:		James Fanto . Jim Wrona	Moderated by Eric Orts	John Walsh, Dennis Dickstein Break 10:30 - 10:45
First Floor Amphilineater		An Overview	Fric Orts		Break 10:30 - 10:45	
		All Overview	Break 10:30 - 10:45			10:45 - 12:15
				10:45 - 12:15	10:45 - 12:15	Session 18
			10:45 - 12:15	Session 10	Session 14	
		5: 0.	Session 6			Financial Products II
		Eric Orts		Selected Topics:	Broker-Dealer Regulation: Supervision	Financial Products II
Faculty Directors: Eric Orts		Break 10:30 - 10:45	Exempt Offerings and Resales	Securities Exchange Act		
Jill Fisch		10:45 - 12:15		F11 F1 1		W: 1 - D
Jili Fisch		Session 2		Jill Fisch	James Fanto, Kosha Dalal	Krishna Ramaswamy
				Working Lunch 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30
For questions, please contact:		Public Offerings & Civil Liabilities		Homework Assignment	1:30 - 3:00	1:30 - 3:30
Meghan McPoyle				1:30 - 3:00	Session 15	
mmcpoyle@wharton.upenn.edu			Lunch 12:15 - 1:30	Session 11		
		Stephen Choi	1:30 - 3:00	i	Broker Dealer Regulation:	
		Class Photo & Lunch 12:15 - 1:30	Session 7	Selected Topics:	Financial Responsibility and Managing Risks	
		1:30 - 3:00		Securities Exchange Act		Assessment
		Session 3	Exempt Offerings and Resales			
		Public Offerings & Civil Liabilities		Jill Fisch	James Fanto	
				Break 3:00 - 3:15	Break 3:00 - 3:15	
				3:15 - 4:45	3:15 - 4:45	
		Stephen Choi	Jill Fisch	Session 12	Session 16	
		Break 3:00 - 3:15	Break 3:00 - 3:15			
		3:15 - 4:45	3:15 - 4:45			
		Session 4	Session 8			
				Capital Markets	Introduction to Financial Products	
		Enhancing Professional Conduct in the	Business Ethics & Compliance	·		
		Financial Services Industry				
	Registration &	·				Thank you for attending
	Welcome Reception					Wharton Executive Education
	4:00 - 6:00	Eric Orts	Bill Laufer	David Zaring	Krishna Ramaswamv	Titulion Exocutivo Education
		Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	Safe Travels!
					5:00 - 6:00 Homework	Ouic Haveis.
		5:00 - 6:00 Homework	5:00 - 6:00 Homework	Cocktail Reception 6:00 - 6:30	Assessment Prep	
				Dinner 6:30-8:00		
		Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Speaker: Susan Axelrod	Dinner 6:00 - 8:00	
				FINRA EVP, Office of Regulatory Operations		