



FINRA Institute at Wharton

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, the SEC, FINRA 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 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
- ▶ career state and federal regulators.

Participants benefit from:

- ▶ rigorous instruction on securities laws and the theory behind securities regulation;
- ▶ instructors from top-tier Wharton School faculty, industry experts and regulators;
- ▶ learning alongside a diverse group of participants;
- ▶ life long networking relationships with industry peers and regulators; and
- ▶ the credibility that comes from earning the designation of Certified Regulatory and Compliance Professional™ (CRCP™).

For more information, please call (212) 858-4119 or email education@finra.org.
You can also visit the website at www.finra.org/crcp/1.

Program Elements and Requirements



Coursework at Wharton

Week I: Foundation

Participants gather on the Wharton School campus for six days of intensive instruction, discussion and case studies, gaining a strong understanding of the foundation and application of securities industry rules and regulations.

Topics include:

- ▶ Securities law and regulatory structure
- ▶ Broker-dealer compliance and supervision
- ▶ Sales practice regulation
- ▶ Financial and responsibility rules
- ▶ Professional conduct
- ▶ Ethical and legal issues in securities regulation

Week II: Advanced Topics

Participants reconvene at Wharton for an in-depth, six-day program that delves further into the nuances of securities law and regulatory compliance practices.

Topics include:

- ▶ State securities law and regulatory structure
- ▶ Internal controls and investigations
- ▶ Anti-money laundering
- ▶ Market structure
- ▶ Arbitration and litigation

Coursework must be completed within two consecutive calendar years.

Pre-Course Work

Candidates review academic materials—including research conducted by Wharton faculty—as well as rules, regulations, and compliance and regulatory guidance in advance of their coursework at Wharton.

Exams

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

Continuing Education

Program graduates are required to complete continuing education (12 hours every three years) to remain current on compliance topics, rules and regulations, and emerging issues in the securities industry.

CRCP Alumni



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

Jay Bley, CRCP '01
Chief Compliance Officer
The O.N. Equity Sales Company

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.

Randy Hechler, CRCP '09
Chief Compliance Officer
Hudson Securities, Inc.

The FINRA Institute at Wharton Program enhances your knowledge of securities laws and regulation, which enables you to be a more well-rounded compliance officer. The CRCP designation shows that the individual is serious about his or her career.

About FINRA and Wharton



FINRA Institute at Wharton participants engage in challenging, interactive dialogue, which results in an understanding of compliance and regulatory concepts that can only be achieved through this program.”

William C. Tyson
Associate Professor, The Wharton School and The Law School, University of Pennsylvania and Co-Academic Director, FINRA Institute at Wharton

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

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 700 professionals have earned the CRCP designation.

www.finra.org/crcp/1

FINRA

FINRA, the Financial Industry Regulatory Authority, is the largest independent regulator for all securities firms doing business in the United States. FINRA is dedicated to investor protection and market integrity through comprehensive regulation. FINRA touches virtually every aspect of the securities business—from registering and educating all industry participants to examining securities firms; writing and enforcing rules and the federal securities laws; informing and educating the investing public; providing trade reporting and other industry utilities; and administering the largest dispute resolution forum for investors and firms.

www.finra.org

The Wharton School

The Wharton School of the University of Pennsylvania—founded in 1881 as the first collegiate business school—is recognized globally for intellectual leadership and ongoing innovation across every major discipline of business education. Informed by in-depth academic research and extensive industry experience, Wharton Executive Education programs offer a supportive and challenging context where participants gain the skills necessary for their next level of executive development. In open enrollment and customized programs, participants from a diverse range of industries interact with Wharton faculty, who are the most cited, most published faculty of all top-tier business schools. With a profound influence on global business, Wharton faculty are the trusted advisors of corporations and governments worldwide.

www.executiveeducation.wharton.upenn.edu