

Certified Regulatory and Compliance Professional (CRCP) Program Week 1 Sample Schedule						
	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
<b>Meals, Classes and Accommodations:</b> University of Georgetown McDonough School of Business  Rafik B. Hariri Building 3700 O St NW Washington DC 20057		Breakfast 7:30 - 8:30  8:30 - 9:00 Program Introduction, Logistics and Mission  9:00 - 10:30 <b>Session 1</b> Financial and Securities Regulation: An Overview  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 2</b> Public Offerings & Civil Liabilities  <b>Lunch &amp; Photo 12:15 - 1:30</b> 1:30 - 3:00 <b>Session 3</b> Public Offerings & Civil Liabilities  <b>Break 3:00 - 3:15</b> 3:15 - 4:45 <b>Session 4</b> Enhancing Professional Conduct in the Financial Services Industry  <b>Registration and Welcome Reception</b> 4:00 - 6:00  <b>Note: This schedule is subject to change.</b>	Breakfast 8:00 - 9:00  9:00 - 10:30 <b>Session 5</b> Enhancing Professional Conduct in the Financial Services Industry  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 6</b> Exempt Offerings and Resales  <b>Lunch 12:15 - 1:30</b> 1:30 - 3:00 <b>Session 7</b> Exempt Offerings and Resales  <b>Break 3:00 - 3:15</b> 3:15 - 4:45 <b>Session 8</b> Business Ethics & Compliance  <b>Break 4:45 - 5:00</b> 5:00 - 6:00 <b>Homework</b>  <b>Dinner 6:00 - 8:00</b>	Breakfast 8:00 - 9:00  9:00 - 10:30 <b>Session 9</b> Selected Topics: Securities Exchange Act  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 10</b> Selected Topics: Securities Exchange Act  <b>Break 3:00 - 3:15</b> 3:15 - 4:45 <b>Session 12</b> Broker-Dealer Regulation: Books, Records, Reports & Sales Practice Compliance  <b>Break 4:45 - 5:00</b> 5:00 - 6:00 <b>Homework</b>  <b>Dinner 6:00 - 8:00</b>	Breakfast 8:00 - 9:00  9:00 - 10:30 <b>Session 13</b> Conflicts of Interest  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 14</b> Ask the Regulators  <b>Break 3:00 - 3:15</b> 3:15 - 4:45 <b>Session 16</b> Broker-Dealer Regulation: Suitability  <b>Break 4:45 - 5:00</b> 5:00 - 6:00 <b>Homework</b>  <b>Dinner 6:00 - 8:00</b>	Breakfast 8:00 - 9:00  9:00 - 10:30 <b>Session 17</b> Introduction to Financial Products  <b>Krishna Ramaswamy</b>  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 18</b> Capital Markets  <b>Sarah Hammer</b>  <b>Break 10:30 - 10:45</b> 10:45 - 12:15 <b>Session 19</b> Assessment  <b>Break 3:00 - 3:15</b> 3:15 - 4:45 <b>Session 20</b> Broker-Dealer Regulation: Supervision  <b>Break 4:45 - 5:00</b> 5:00 - 6:00 <b>Homework</b>  <b>Dinner 6:00 - 8:00</b>
						<b>Thank you for attending Wharton Executive Education</b>  <b>Safe Travels!</b>