

**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  <b>Classroom:</b> TBD		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
		8:30 - 9:00 Program Introduction, Logistics and Mission	9:00 - 10:30  <b>Session 5</b>  Enhancing Professional Conduct in the Financial Services Industry	9:00 - 10:30  <b>Session 9</b>  Selected Topics: Securities Exchange Act	9:00 - 10:30  <b>Session 13</b>  Conflicts of Interest	9:00 - 10:30  <b>Session 17</b>  Introduction to Financial Products
		9:00 - 10:30 <b>Session 1</b> Financial and Securities Regulation: An Overview	10:45 - 12:15 <b>Session 6</b>  Exempt Offerings and Resales	10:45 - 12:15 <b>Session 10</b>  Selected Topics: Securities Exchange Act	10:45 - 12:15 <b>Session 14</b>  Ask the Regulators	10:45 - 12:15 <b>Session 18</b>  Capital Markets
		Break 10:30 - 10:45				
		10:45 - 12:15 <b>Session 2</b> Public Offerings & Civil Liabilities				
		Lunch & Photo 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30
		1:30 - 3:00 <b>Session 3</b> Public Offerings & Civil Liabilities	1:30 - 3:00 <b>Session 7</b> Exempt Offerings and Resales	1:30 - 3:00 <b>Session 11</b> Broker-Dealer Regulation: Financial Responsibility and Managing Risks	1:30 - 3:00 <b>Session 15</b> Broker-Dealer Regulation: Supervision	1:30 - 3:30  Assessment
		Break 3:00 - 3:15	Break 3:00 - 3:15	Break 3:00 - 3:15	Break 3:00 - 3:15	<b>Thank you for attending</b> <b>Wharton Executive Education</b>  <b>Safe Travels!</b>
		3:15 - 4:45 <b>Session 4</b> Enhancing Professional Conduct in the Financial Services Industry	3:15 - 4:45 <b>Session 8</b> Business Ethics & Compliance	3:15 - 4:45 <b>Session 12</b> Broker-Dealer Regulation: Books, Records, Reports & Sales Practice Compliance	3:15 - 4:45 <b>Session 16</b> Broker-Dealer Regulation: Suitability	
		Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	
		5:00 - 6:00 <b>Homework</b>	5:00 - 6:00 <b>Homework</b>	Reception 6:00-6:30	5:00 - 6:00 <b>Homework</b>	
		Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Speaker: TBD Dinner 6:30 - 8:00	Dinner 6:00 - 8:00	

**Note: This schedule is subject to change.**