



FINRA Institute at Georgetown
 Certified Regulatory and Compliance Professional (CRCP) Program
 Week I | July 22 – 27, 2018



Sunday, July 22	TIMES	Monday, July 23	Tuesday, July 24	Wednesday, July 25	Thursday, July 26	Friday, July 27
ACCOMMODATIONS: Georgetown University Hotel and Conference Center 3800 Reservoir Rd NW, Washington, DC 20057 Phone: (202) 687-3200 MEALS: Faculty Club Restaurant CLASSROOM: McDonough School of Business Rafik B. Hariri Building, 4th Floor Room 450 ACADEMIC DIRECTOR: Professor James Angel PROGRAM MANAGER: Kim Kaiser This schedule is subject to change.	9:00 a.m. – 10:30 a.m.	8:30 a.m. – 9:00 a.m. Program Mission: <ul style="list-style-type: none">• Patricia Albrecht Program Logistics: <ul style="list-style-type: none">• Kim Kaiser Program Introduction: <ul style="list-style-type: none">• Professor James Angel SESSION 1: 9:00 a.m. – 10:30 a.m. Fundamentals of Financial Regulation <ul style="list-style-type: none">• James Angel	SESSION 5: Exempt Offerings and Resales I <ul style="list-style-type: none">• Lisa Fairfax	SESSION 9: Broker-Dealer Regulation: Suitability in a Fiduciary World <ul style="list-style-type: none">• James Fanto• James Wrona	SESSION 13: Communications With the Public: Advertising and Social Media <ul style="list-style-type: none">• James Fanto• Amy Sochard	SESSION 17: FinTech 101 <ul style="list-style-type: none">• John Jacobs
	10:30 a.m. – 10:45 a.m.	Break	Break	Break	Break	Break
	10:45 a.m. – 12:15 p.m.	SESSION 2: Securities Exchange Act I <ul style="list-style-type: none">• Donald Langevoort	SESSION 6: Exempt Offerings and Resales II <ul style="list-style-type: none">• Lisa Fairfax	SESSION 10: Broker-Dealer Regulation: Book, Records, Reports & Sales Practice Compliance <ul style="list-style-type: none">• James Fanto• Afshin Atabaki	SESSION 14: Broker-Dealer Regulation: Supervision <ul style="list-style-type: none">• James Fanto• Patricia Albrecht	SESSION 18: Pro-active Management: Emerging Trends in Financial Markets and Regulation <ul style="list-style-type: none">• James Angel
	12:15 p.m. – 1:30 p.m.	Lunch/Group Photo	Lunch	Lunch	Lunch	Lunch
	1:30 p.m. – 3:00 p.m.	SESSION 3: Securities Exchange Act II <ul style="list-style-type: none">• Donald Langevoort	SESSION 7: Public Offerings & Civil Liabilities I <ul style="list-style-type: none">• Urska Velikonja	SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) <ul style="list-style-type: none">• James Fanto	SESSION 15: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income <ul style="list-style-type: none">• James Angel	ASSESSMENT 1:30 p.m. – 3:30 p.m.
	3:00 p.m. – 3:15 p.m.	Break	Break	Break	Break	
Registration and Welcome Reception 4:00 p.m. – 6:00 p.m.	3:15 p.m. – 4:45 p.m.	SESSION 4: Market Regulation <ul style="list-style-type: none">• Daniel Hawke	SESSION 8: Public Offerings & Civil Liabilities II <ul style="list-style-type: none">• Urska Velikonja	SESSION 12: Leadership: Effective Communications Within the Firm <ul style="list-style-type: none">• Jeanine Turner	SESSION 16: Leadership: Building an Effective as well as Cost-Effective Compliance Culture <ul style="list-style-type: none">• Ed Soule	Thank you for attending. Safe Travels!
	4:45 p.m. – 5:00 p.m.	Break	Break	Break	Break	
	5:00 p.m. – 6:00 p.m.	Group Exercise	Group Exercise	Group Exercise	Group Exercise	
	6:00 p.m. – 8:00 p.m.	Dinner	Dinner and Speaker: <ul style="list-style-type: none">• Robert Cook, CEO, FINRA	Dinner	Dinner	