

| Sunday, July 18   | TIMES                   | Monday, July 19  | Tuesday, July 20  | Wednesday, July 21   | Thursday, July 22   | Friday, July 23   |
|---|-------------------------|--|---|--|---|---|
|   |                         | Breakfast 7:30 – 8:50 a.m.   | Breakfast 7:30 – 8:50 a.m.  | Breakfast 7:30 – 8:50 a.m.   | Breakfast 7:30 – 8:50 a.m.  | Breakfast 7:30 – 8:50 a.m.  |
| <b>ACADEMIC DIRECTOR:</b><br>Professor James Angel<br><b>PROGRAM MANAGER:</b><br>Binita Raval<br><br><b>This schedule is subject to change.</b> | 8:50 a.m. – 9:00 a.m.   | <b>Program Mission:</b><br><ul style="list-style-type: none"> <li>Patricia Albrecht</li> </ul> <b>Program Logistics:</b><br><ul style="list-style-type: none"> <li>Binita Raval</li> </ul> <b>Program Introduction:</b><br><ul style="list-style-type: none"> <li>James Angel</li> </ul> | <b>Group Exercise Overview</b><br><ul style="list-style-type: none"> <li>James Angel</li> </ul>                                     | <b>Group Exercise Overview</b><br><ul style="list-style-type: none"> <li>James Angel</li> </ul>  | <b>Group Exercise Overview</b><br><ul style="list-style-type: none"> <li>James Angel</li> </ul>   | <b>Group Exercise Overview</b><br><ul style="list-style-type: none"> <li>James Angel</li> </ul>   |
|   | 9:00 a.m. – 10:30 a.m.  | <b>SESSION 1:</b><br>Fundamentals of Financial Regulation<br><ul style="list-style-type: none"> <li>James Angel</li> </ul>   | <b>SESSION 5:</b><br>Exempt Offerings and Resales I<br><ul style="list-style-type: none"> <li>Lisa Fairfax</li> </ul>               | <b>SESSION 9:</b><br>Broker-Dealer Regulation: Reg BI and Form CRS<br><ul style="list-style-type: none"> <li>James Fanto</li> <li>James Wrona</li> </ul>   | <b>SESSION 13:</b><br>Communications with the Public: Advertising and Social Media<br><ul style="list-style-type: none"> <li>James Fanto</li> <li>Amy Sochard</li> </ul>          | <b>SESSION 17:</b><br>FinTech 101<br><ul style="list-style-type: none"> <li>John Jacobs</li> </ul>  |
|   | 10:30 a.m. – 10:45 a.m. | Break  | Break   | Break  | Break   | Break   |
|   | 10:45 a.m. – 12:15 p.m. | <b>SESSION 2:</b><br>Securities Exchange Act I<br><ul style="list-style-type: none"> <li>Donald Langevoort</li> </ul>  | <b>SESSION 6:</b><br>Exempt Offerings and Resales II<br><ul style="list-style-type: none"> <li>Lisa Fairfax</li> </ul>              | <b>SESSION 10:</b><br>Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance<br><ul style="list-style-type: none"> <li>James Fanto</li> </ul>                           | <b>SESSION 14:</b><br>Broker-Dealer Regulation: Supervision<br><ul style="list-style-type: none"> <li>James Fanto</li> <li>Patricia Albrecht</li> </ul>                           | <b>SESSION 18:</b><br>Pro-active Management: Emerging Trends in Financial Markets and Regulation<br><ul style="list-style-type: none"> <li>James Angel</li> </ul> |
|   | 12:15 p.m. – 1:30 p.m.  | Lunch  | Lunch   | Lunch  | Lunch   | Lunch 12:15 p.m.– 1:00 p.m.   |
|   | 1:30 p.m. – 3:00 p.m.   | <b>SESSION 3:</b><br>Securities Exchange Act II<br><ul style="list-style-type: none"> <li>Donald Langevoort</li> </ul>   | <b>SESSION 7:</b><br>Public Offerings and Civil Liabilities I<br><ul style="list-style-type: none"> <li>Urska Velikonja</li> </ul>  | <b>SESSION 11:</b><br>Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital)<br><ul style="list-style-type: none"> <li>James Fanto</li> <li>Bonnie Gauch</li> </ul> | <b>SESSION 15:</b><br>Broker-Dealer Regulation: Best Execution in Equities and Fixed Income<br><ul style="list-style-type: none"> <li>James Angel</li> </ul>                      | <b>ASSESSMENT</b><br>1:00 p.m. – 3:30 p.m.  |
|   | 3:00 p.m. – 3:15 p.m.   | Break  | Break   | Break  | Break   |   |
| <b>Welcome Reception</b><br>5:00 p.m. – 7:00 p.m.   | 3:15 p.m. – 4:45 p.m.   | <b>SESSION 4:</b><br>Market Structure<br><ul style="list-style-type: none"> <li>James Angel</li> </ul>   | <b>SESSION 8:</b><br>Public Offerings and Civil Liabilities II<br><ul style="list-style-type: none"> <li>Urska Velikonja</li> </ul> | <b>SESSION 12:</b><br>Effective Communications Within the Firm<br><ul style="list-style-type: none"> <li>Jeanine Turner</li> </ul>   | <b>SESSION 16:</b><br>Assessing and Improving the Corporate Ethical Culture – Leading for Ethical Performance<br><ul style="list-style-type: none"> <li>Douglas McCabe</li> </ul> | Thank you for attending.  |
|   | 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 Guest Speaker: The Hon. Hester Peirce, Commissioner, SEC   | Dinner   | Dinner  |   |
|   |                         |  |   |  |   |   |