

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.
ACADEMIC DIRECTOR: Professor James Angel PROGRAM MANAGER: Binita Raval This schedule is subject to change.	8:50 a.m.– 9:00 a.m.	Program Mission: <ul style="list-style-type: none"> Patricia Albrecht Program Logistics: <ul style="list-style-type: none"> Binita Raval Program Introduction: <ul style="list-style-type: none"> James Angel 	Group Exercise Overview <ul style="list-style-type: none"> James Angel 	Group Exercise Overview <ul style="list-style-type: none"> James Angel 	Group Exercise Overview <ul style="list-style-type: none"> James Angel 	Group Exercise Overview <ul style="list-style-type: none"> James Angel
	9:00 a.m. – 10:30 a.m.	SESSION 1: 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: Reg BI and Form CRS <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: Books, Records, Reports and Sales Practice Compliance <ul style="list-style-type: none"> James Fanto 	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	Lunch	Lunch	Lunch	Lunch 12:15 p.m.– 1:00 p.m.
	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 and Civil Liabilities I <ul style="list-style-type: none"> Urška Velikonja 	SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) <ul style="list-style-type: none"> James Fanto Bonnie Gauch 	SESSION 15: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income <ul style="list-style-type: none"> James Angel 	ASSESSMENT 1:00 p.m. – 3:30 p.m.
	3:00 p.m. – 3:15 p.m.	Break	Break	Break	Break	
Welcome Reception 5:00 p.m. – 7:00 p.m.	3:15 p.m. – 4:45 p.m.	SESSION 4: Market Structure <ul style="list-style-type: none"> James Angel 	SESSION 8: Public Offerings and Civil Liabilities II <ul style="list-style-type: none"> Urška Velikonja 	SESSION 12: Effective Communications Within the Firm <ul style="list-style-type: none"> Jeanine Turner 	SESSION 16: Assessing and Improving the Corporate Ethical Culture – Leading for Ethical Performance <ul style="list-style-type: none"> Douglas McCabe 	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	