<table>
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<th><strong>Sunday, July 21</strong></th>
<th><strong>Monday, July 22</strong></th>
<th><strong>Tuesday, July 23</strong></th>
<th><strong>Wednesday, July 24</strong></th>
<th><strong>Thursday, July 25</strong></th>
<th><strong>Friday, July 26</strong></th>
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<td><strong>TIMES</strong></td>
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<td>9:00 a.m. – 10:30 a.m.</td>
<td>8:45 a.m. – 9:00 a.m.</td>
<td><strong>SESSION 5:</strong></td>
<td><strong>SESSION 9:</strong></td>
<td><strong>SESSION 13:</strong></td>
<td><strong>SESSION 17:</strong></td>
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<td><strong>ACCOMMODATIONS:</strong> Georgetown University Hotel and Conference Center</td>
<td>Program Mission: • Patricia Albrecht Program Logistics: • Sarah Tillotson Program Introduction: • James Angel</td>
<td>Exempt Offerings and Resales I • Lisa Fairfax</td>
<td>Broker-Dealer Regulation: Suitability in a Best Interest World • James Fanto • James Wrona</td>
<td>Communications With the Public: Advertising and Social Media • James Fanto • Amy Sochard</td>
<td>FinTech 101 • John Jacobs</td>
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<td>10:45 a.m. – 12:15 p.m.</td>
<td>10:45 a.m. – 12:15 p.m.</td>
<td><strong>SESSION 6:</strong></td>
<td><strong>SESSION 10:</strong></td>
<td><strong>SESSION 14:</strong></td>
<td><strong>SESSION 18:</strong></td>
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<td>12:15 p.m. – 1:30 p.m.</td>
<td>12:15 p.m. – 1:30 p.m.</td>
<td>Exempt Offerings and Resales II • Lisa Fairfax</td>
<td>Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance • James Fanto</td>
<td>Broker-Dealer Regulation: Supervision • James Fanto • Patricia Albrecht</td>
<td>Pro-active Management: Emerging Trends in Financial Markets and Regulation • James Angel</td>
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<td>3:00 p.m. – 3:15 p.m.</td>
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<td><strong>SESSION 7:</strong></td>
<td><strong>SESSION 11:</strong></td>
<td><strong>SESSION 15:</strong></td>
<td><strong>SESSION 16:</strong></td>
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<td>4:45 p.m. – 5:00 p.m.</td>
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<td>Public Offerings and Civil Liabilities I • Urska Velikonja</td>
<td>Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) • James Fanto • Bonnie Gauch</td>
<td>Broker-Dealer Regulation: Best Execution in Equities and Fixed Income • James Angel</td>
<td>Leadership: Building an Effective as well as Cost-Effective Compliance Culture • Ed Soule</td>
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<td><strong>MEALS:</strong> Faculty Club Restaurant</td>
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<td><strong>CLASSROOM:</strong> McDonough School of Business Rafik B. Hariri Building, 4th Floor Room 450</td>
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<td><strong>ACADEMIC DIRECTOR:</strong> Professor James Angel</td>
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Thank you for attending. Safe Travels!