

Sunday, July 18	TIMES	Monday, July 19	Tuesday, July 20	Wednesday, July 21	Thursday, July 22	Friday, July 23
	8:20 a.m. – 8:50 a.m.	Open Forum Networking	Open Forum Networking	Coffee With Professors	Coffee With Professors	Coffee With Professors
ACADEMIC DIRECTOR: Professor James Angel PROGRAM MANAGER: Binita Raval This schedule is subject to change. All times are listed in Eastern Daylight Time (EDT).	8:50 a.m. – 9:00 a.m.	Program Mission: • Patricia Albrecht Program Logistics: • Binita Raval Program Introduction: • James Angel	Group Exercise Overview • James Angel	Group Exercise Overview • James Angel	Group Exercise Overview • James Angel	Group Exercise Overview • James Angel
	9:00 a.m. – 10:30 a.m.	SESSION 1: Fundamentals of Financial Regulation • James Angel	SESSION 5: Exempt Offerings and Resales I • Lisa Fairfax	SESSION 9: Broker-Dealer Regulation: Reg BI and Form CRS • James Fanto • James Wrona	SESSION 13: Communications with the Public: Advertising and Social Media • James Fanto • Amy Sochard	SESSION 17: FinTech 101 • 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 • Donald Langevoort	SESSION 6: Exempt Offerings and Resales II • Lisa Fairfax	SESSION 10: Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance • James Fanto	SESSION 14: Broker-Dealer Regulation: Supervision • James Fanto • Patricia Albrecht	SESSION 18: Pro-active Management: Emerging Trends in Financial Markets and Regulation • James Angel
	12:15 p.m. – 1:30 p.m.	Networking	Networking	Networking	Networking	Networking
	1:30 p.m. – 3:00 p.m.	SESSION 3: Securities Exchange Act II • Donald Langevoort	SESSION 7: Public Offerings and Civil Liabilities I • Urska Velikonja	SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) • James Fanto • Bonnie Gauch	SESSION 15: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income • James Angel	ASSESSMENT 1:00 p.m. – 3:30 p.m.
	3:00 p.m. – 3:15 p.m.	Break	Break	Break	Break	
Welcome Wine and Cheese Networking Reception 5:00 p.m. – 7:00 p.m.	3:15 p.m. – 4:45 p.m.	SESSION 4: Market Structure • James Angel	SESSION 8: Public Offerings and Civil Liabilities II • Urska Velikonja	SESSION 12: Leadership: Effective Communications Within the Firm • Jeanine Turner	SESSION 16: Assessing and Improving the Corporate Ethical Culture – Leading for Ethical Performance • 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.	Monday Mindfulness	Trivia Night	Meal and Guest Speaker: The Hon. Hester Peirce, Commissioner, SEC	Study Night	