

TIMES	Sunday, July 13	Monday, July 14	Tuesday, July 15	Wednesday, July 16	Thursday, July 17	Friday, July 18
8:00 a.m. – 8:50 a.m.		<i>Breakfast</i>	<i>Breakfast</i>	<i>Breakfast</i>	<i>Breakfast</i>	<i>Breakfast</i> 7:30 a.m. - 8:20 a.m.
8:50 a.m. – 9:00 a.m.	<b>ACCOMMODATIONS:</b> The Westin Georgetown 2350 M St NW Washington, D.C. 20037 (202) 429-0100  <b>MEALS:</b> Faculty Club Restaurant  <b>CLASSROOM:</b> McDonough School of Business  Rafik B. Hariri Building 4th Floor, Room 440 37th and O Streets Washington, DC 20057  <b>ACADEMIC DIRECTOR:</b> Professor James Angel  <b>PROGRAM MANAGER:</b> Gloria Carls	<b>Program Mission:</b> • Lisa DeVos <b>Program Logistics:</b> • Gloria Carls <b>Program Introduction:</b> • Professor James Angel	<b>Group Exercise Overview</b> • James Angel	<b>Group Exercise Overview</b> • James Angel	<b>Group Exercise Overview</b> • James Angel	<b>Group Exercise Overview</b> 8:20 a.m. - 8:30 a.m. • James Angel
9:00 a.m. – 10:30 a.m.		<b>SESSION 1:</b> <b>Fundamentals of Financial Regulation</b> • James Angel	<b>SESSION 5:</b> <b>Exempt Offerings and Resales I</b> • Samuel Flax	<b>SESSION 9:</b> <b>Broker-Dealer Regulation: Reg BI and Form CRS</b> • James Fanto • James Wrona	<b>SESSION 13:</b> <b>Communications With the Public: Advertising and Social Media</b> • James Fanto • Ira Gluck	<b>SESSION 17:</b> <b>FinTech 101</b> 8:30 a.m. - 10:00 a.m. • John Jacobs
10:30 a.m. – 10:45 a.m.		<i>Break</i>	<i>Break</i>	<i>Break</i>	<i>Break</i>	<i>Break</i> 10:00 a.m. - 10:15 a.m.
10:45 a.m. – 12:15 p.m.		<b>SESSION 2:</b> <b>Public Offerings and Civil Liabilities I</b> • Donald Langevoort	<b>SESSION 6:</b> <b>Exempt Offerings and Resales II</b> • Samuel Flax	<b>SESSION 10:</b> <b>Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance</b> • James Fanto • Tina Tambiah	<b>SESSION 14:</b> <b>Broker-Dealer Regulation: Supervision</b> • James Fanto • Kosha Dala	<b>SESSION 18:</b> <b>FinTech 201 and Emerging Trends in Financial Markets and Regulation</b> 10:15 a.m. - 11:45 a.m. • James Angel
12:15 p.m. – 1:30 p.m.		<i>Lunch</i>	<i>Lunch</i>	<i>Lunch</i>	<i>Lunch</i>	<i>Box Lunch (provided)</i> 11:45 a.m. - 12:15 p.m.  <b>ASSESSMENT</b> 12:15 p.m. - 2:45 p.m.
1:30 p.m. – 3:00 p.m.		<b>SESSION 3:</b> <b>Public Offerings and Civil Liabilities II</b> • Donald Langevoort	<b>SESSION 7:</b> <b>Securities Exchange Act I</b> • Donald Langevoort	<b>SESSION 11:</b> <b>Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital)</b> • James Fanto • Raymond Lombardo	<b>SESSION 15:</b> <b>Market Structure</b> • James Angel	
3:00 p.m. – 3:15 p.m.		<i>Break</i>	<i>Break</i>	<i>Break</i>	<i>Break</i>	
3:15 p.m. – 4:45 p.m.		<b>SESSION 4:</b> <b>Culture of Compliance</b> • Don De Amicis	<b>SESSION 8:</b> <b>Securities Exchange Act II</b> • Donald Langevoort	<b>SESSION 12:</b> <b>Effective Communications Within the Firm</b> • Jeanine Turner	<b>SESSION 16:</b> <b>Broker-Dealer Regulation: Best Execution in Equities and Fixed Income</b> • James Angel	<b>THANK YOU FOR ATTENDING.</b> <b>SAFE TRAVELS!</b>
4:45 p.m. – 5:00 p.m.		<i>Break</i>	<i>Break</i>	<i>Break</i>	<i>Break</i>	
5:00 p.m. – 6:00 p.m.	<b>WELCOME RECEPTION</b> 5:30 p.m. – 7:00 p.m.	Group Exercise	Group Exercise	Group Exercise	Group Exercise	
6:00 p.m. – 8:00 p.m.		Off-Campus Dinner 6:00 p.m. – 8:30 p.m.	Dinner and Guest Speaker—Greg Ruppert	Dinner at Hotel	Dinner at Hotel	