

| TIMES                   | Sunday, November 17  | Monday, November 18   | Tuesday, November 19   | Wednesday, November 20  | Thursday, November 21  | Friday, November 22  |
|-------------------------|--|---|--|---|--|--|
| 8:00 a.m. – 8:50 a.m.   | <b>ACCOMMODATIONS:</b><br>The Westin Georgetown<br>2350 M St NW<br>Washington, D.C. 20037<br>(202) 429-0100<br><br><b>MEALS:</b><br>Faculty Club Restaurant<br><br><b>CLASSROOM:</b><br>McDonough School of Business<br><br>Rafik B. Hariri Building<br>4th Floor, Room 440<br>37th and O Streets<br>Washington, DC 20057<br><br><b>ACADEMIC DIRECTOR:</b><br>Professor James Angel<br><br><b>PROGRAM MANAGER:</b><br>Gloria Carls | Breakfast   | Breakfast  | Breakfast   | Breakfast  | Breakfast<br>7:30 a.m. - 8:20 a.m.   |
| 8:50 a.m. – 9:00 a.m.   |  | • Welcome   | Group Exercise Overview<br>• James Angel   | Group Exercise Overview<br>• James Angel  | Group Exercise Overview<br>• James Angel   | Group Exercise Overview<br>8:20 a.m. - 8:30 a.m.<br>• James Angel  |
| 9:00 a.m. – 10:30 a.m.  |  | <b>SESSION 1:</b><br>Complex Financial Products<br>• James Angel  | <b>SESSION 5:</b><br>Crowdfunding and Funding Portals<br>• Jessica Hathaway<br>• Laura Trotz<br>• James Murphy | <b>SESSION 9:</b><br>Anti-Money Laundering Regulations I<br>• Jason Foye<br>• Sarah Green<br>• Gargi Sharma   | <b>SESSION 13:</b><br>Crypto Assets<br>• Jamie Udinson<br>• James Angel  | <b>SESSION 17:</b><br>Leadership: Building Teams and Managing Conflicts<br>8:30 a.m. - 10:00 a.m.<br>• Michael O'Leary   |
| 10:30 a.m. – 10:45 a.m. |  | Break   | Break  | Break   | Break  | Break<br>10:00 a.m. - 10:15 a.m.   |
| 10:45 a.m. – 12:15 p.m. |  | <b>SESSION 2:</b><br>FINRA Arbitration and Disciplinary Proceedings<br>• Maureen Delaney<br>• James Angel<br>• Rick Berry | <b>SESSION 6:</b><br>Municipal Securities Regulation<br>• Bri Joiner<br>• Cindy Friedlander                    | <b>SESSION 10:</b><br>Anti-Money Laundering Regulations II<br>• Jason Foye<br>• Sarah Green<br>• Gargi Sharma | <b>SESSION 14:</b><br>Cyber-Security and Cyber-Enabled Fraud<br>• Greg Lyon<br>• Jason Beachy<br>• Robert Francis  | <b>SESSION 18:</b><br>Senior Investor Protection (including Succession Planning)<br>10:15 a.m. - 11:45 a.m.<br>• Alicia Goldin<br>• Brooke Hickman<br>• Linde Murphy |
| 12:15 p.m. – 1:30 p.m.  |  | Lunch/Group Photo   | Lunch  | Lunch   | Lunch  | Box Lunch (provided)<br>11:45 a.m. - 12:15 p.m.<br><br><b>ASSESSMENT</b><br>12:15 p.m. - 2:45 p.m.   |
| 1:30 p.m. – 3:00 p.m.   |  | <b>SESSION 3:</b><br>White Collar Crimes<br>• Mark MacDougall   | <b>SESSION 7:</b><br>Advanced Supervision: Remote Supervision<br>• Sarah Kwak<br>• Marlon Paz                  | <b>SESSION 11:</b><br>SEC and FINRA Enforcement<br>• Marlon Paz<br>• Gina Petrocelli                          | <b>SESSION 15:</b><br>Artificial Intelligence (AI)<br>• Sudipta Dasmohapatra<br>• Brad Ahrens<br>• Andrew McElduff |  |
| 3:00 p.m. – 3:15 p.m.   |  | Break   | Break  | Break   | Break  | <b>THANK YOU FOR ATTENDING. SAFE TRAVELS!</b>  |
| 3:15 p.m. – 4:45 p.m.   |  | <b>SESSION 4:</b><br>Investment Adviser Regulation<br>• James Angel   | <b>SESSION 8:</b><br>Foreign Markets and Securities Regulation<br>• James Angel                                | <b>SESSION 12:</b><br>Customer Protection Rule: Clearing and Custody<br>• James Angel<br>• John McKissick     | <b>SESSION 16:</b><br>Leadership: Negotiation Skills for Compliance Professionals<br>• Rachel Gillers              |  |
| 4:45 p.m. – 5:00 p.m.   |  | Break   | Break  | Break   | Break  |  |
| 5:00 p.m. – 6:00 p.m.   | <b>REGISTRATION AND WELCOME RECEPTION</b><br>5:00 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   | Dinner   | Dinner  | Dinner   |  |