

| TIMES | | Monday, Nov. 17 | Tuesday, Nov. 18 | Wednesday, Nov. 19 | Thursday, Nov. 20 | Friday, Nov. 21 |
|-------------------------|---|--|--|---|--|---|
| 8:00 a.m. – 8:50 a.m. | Sunday, November 16 | <i>Breakfast</i> | <i>Breakfast</i> | <i>Breakfast</i> | <i>Breakfast</i> | <i>Breakfast at Hotel</i> 7:30 a.m. - 8:20 a.m. |
| 8:50 a.m. – 9:00 a.m. | ACCOMMODATIONS: The Westin Georgetown 2350 M St NW Washington, D.C. 20037 (202) 429-0100 MEALS: Locations vary CLASSROOM: McDonough School of Business Rafik B. Hariri Building 4th Floor, Room 440 37th and O Streets Washington, DC 20057 ACADEMIC DIRECTOR: Professor James Angel PROGRAM MANAGER: Gloria Carls | WELCOME | Group Exercise Overview • James Angel | Group Exercise Overview • James Angel | Group Exercise Overview • James Angel | Group Exercise Overview 8:20 a.m. - 8:30 a.m. • James Angel |
| 9:00 a.m. – 10:30 a.m. | | SESSION 1: Complex Financial Products • James Angel | SESSION 5: Capital Formation • Maxwell Rich • Gabriela Aguero | SESSION 9: Anti-Money Laundering Regulation I • Sarah Green • Gargi Sharma | SESSION 13: Cryptocurrency • Jamie Udinson • James Angel | SESSION 17: Leadership: Building Teams and Managing Conflicts 8:30 a.m. - 10:00 a.m. • Michael O'Leary |
| 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. | | SESSION 2: Arbitration Proceedings and Office of Hearing Officers • Maureen Delaney • James Angel • Rick Berry | SESSION 6: Foreign Markets and Securities Regulation • James Angel | SESSION 10: Anti-Money Laundering Regulation II • Sarah Green • Gargi Sharma | SESSION 14: Cyber-Security and Cyber-Enabled Fraud • Greg Lyon • Jason Beachy • Robert Francis | SESSION 18: Senior Investor Protection (including Succession Planning) 10:15 a.m. - 11:45 a.m. • Alicia Goldin • Brooke Hickman • Linde Murphy |
| 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. ASSESSMENT 12:15 p.m. - 2:45 p.m. |
| 1:30 p.m. – 3:00 p.m. | | SESSION 3: White Collar Crimes • Mark MacDougall | SESSION 7: Advanced Supervision: Remote Supervision • Marlon Paz • Sarah Kwak | SESSION 11: Artificial Intelligence (AI) • Sudipta Dasmohapatra • Brad Ahrens • Andrew McElduff | SESSION 15: Leadership: Negotiation Skills for Compliance Professionals • Rachel Gillers | |
| 3:00 p.m. – 3:15 p.m. | | <i>Break</i> | <i>Break</i> | <i>Break</i> | <i>Break</i> | THANK YOU FOR ATTENDING. SAFE TRAVELS! |
| 3:15 p.m. – 4:45 p.m. | | SESSION 4: Investment Adviser Regulation • James Angel | SESSION 8: SEC and FINRA Enforcement • Marlon Paz • Tina Gubb | SESSION 12: Customer Protection Rule: Clearing and Custody • James Angel • John McKissick | SESSION 16: Municipal Securities Regulation • Gene Davis • Erica Proctor | |
| 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. | | WELCOME RECEPTION 5:30 p.m. – 7:00 p.m. | Group Exercise | Group Exercise | Group Exercise | |
| 6:00 p.m. – 8:00 p.m. | | <i>Off-Campus Dinner</i> 6:00 p.m. – 8:30 p.m. | <i>Seated dinner at hotel</i> | <i>Grab-and-go dinner at hotel</i> | <i>Grab-and-go dinner at hotel</i> | |