

FINRA Institute at Wharton
Certified Regulatory and Compliance Professional (CRCP) Program Week 2
November 12-17, 2017



	Sunday, November 12, 2017	Monday, November 13, 2017	Tuesday, November 14, 2017	Wednesday, November 15, 2017	Thursday, November 16, 2017	Friday, November 17, 2017
Meals and Classes: 255 South 38th Street Philadelphia, PA 19104 Phone: 1.215.386.8300 Fax: 1.215.573.3426 Classroom: First Floor Amphitheater Accommodations: Inn at Penn 3600 Sansom Street Philadelphia, PA 19104 Phone: 215.222.0200 Academic Director: Jill Fisch Note: This schedule is subject to change.		Breakfast 7:30 - 8:30 8:30 - 9:00 Program Mission: Patricia Albrecht Program Logistics: Wharton Program Introduction: Jill Fisch, Wharton 9:00 - 10:30 Session 1 Investment Advisor Regulation <i>James Fanto, Amy C. Sochard</i> <i>Jim Angel</i> Break 10:30 - 10:45 10:45 - 12:15 Session 2 Foreign Markets & Securities Regulation <i>Jim Angel</i> Lunch & Photo 12:15 - 1:30 1:30 - 3:00 Session 3 Dodd-Frank <i>David Skeel</i> Break 3:00 - 3:15 3:15 - 4:45 Session 4 Insider Trading <i>Jill Fisch</i> Break 4:45 - 5:00 5:00 - 6:00 Homework Dinner 6:00 - 8:00	Breakfast 8:00 - 9:00 9:00 - 10:30 Session 5 Communications with the Public: FINRA Rule 2210 <i>James Fanto, Amy C. Sochard</i> Break 10:30 - 10:45 10:45 - 12:15 Session 6 Market Regulations <i>Daniel Hawke</i> Lunch 12:15 - 1:00 1:00 - 2:30 Session 7 Dodd-Frank <i>David Skeel</i> Break 2:30 - 2:45 2:45 - 4:15 Session 8 Broker-Dealer Litigation, Arbitration & Enforcement Proceedings <i>Jill Fisch, Rick Berry</i> Break 4:15 - 4:30 4:30 - 6:00 Homework Dinner 6:00 - 8:00	Breakfast 8:00 - 9:00 9:00 - 10:30 Session 9 Anti-Money Laundering Regulations <i>Tim O'Neal Lorah, Sarah Green</i> Break 10:30 - 10:45 10:45 - 12:15 Session 10 Top Compliance Challenges <i>Geoff Miller</i> Lunch 12:15 - 1:30 1:30 - 3:00 Session 11 Retirement Savings & Broker-Dealer Sales Practices <i>Jill Fisch, Laura Leigh Blackston</i> Break 3:00 - 3:15 3:15 - 4:45 Session 12 Municipal Securities Regulation <i>Cindy Friedlander, Jim Jones</i> Break 4:45 - 5:00 Reception 6:00-6:30 Dinner 6:30 - 8:00 Speaker: Susan Axelrod FINRA EVP, Office of Regulatory Operations	Breakfast 8:00 - 9:00 9:00 - 10:30 Session 13 Advanced Suitability: Case Simulation <i>Gavin Meyers</i> Break 10:30 - 10:45 10:45 - 12:15 Session 14 Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i> Lunch 12:15 - 1:30 1:30 - 3:00 Session 15 Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i> Break 3:00 - 3:15 3:15 - 4:45 Session 16 International Financial Regulation <i>Peter Conti-Brown</i> Break 4:45 - 5:00 5:00 - 6:00 Homework Dinner 6:00 - 8:00	Breakfast 8:00 - 9:00 9:00 - 10:30 Session 17 Privacy & Data Protection <i>John Walsh, Dennis Dickstein</i> Break 10:30 - 10:45 10:45 - 12:15 Session 18 Crowdfunding <i>Joan Heminway, Alissa Robinson</i> Lunch 12:15 - 1:30 1:30 - 3:30 Assessment Thank you for attending Wharton Executive Education Safe Travels!