

**FINRA Institute at Wharton**  
**Certified Regulatory and Compliance Professional (CRCP) Program Week 2**  
**November 8 - 13, 2015**



	Sunday, November 08, 2015	Monday, November 09, 2015	Tuesday, November 10, 2015	Wednesday, November 11, 2015	Thursday, November 12, 2015	Friday, November 13, 2015
<b>Meals and Classes:</b> Steinberg Conference Center 255 South 38th Street Philadelphia, PA 19104 Phone: 1.215.386.8300 Fax: 1.215.573.3426  <b>Classroom:</b> Yasuda Amphitheater  <b>Accommodations:</b> Homewood Suites University City 4109 Walnut Street Philadelphia, PA 19104 1.215.382.1111  <b>Faculty Directors:</b> Eric Orts Jill Fisch  <b>Program Coordinator:</b> Evan Miller <a href="mailto:evanmill@wharton.upenn.edu">evanmill@wharton.upenn.edu</a> 1.215.746.3891		8:30 - 9:00 Breakfast 7:30 - 8:30  Program Mission: Patricia Alrecht, FINRA Program Logistics: Wharton Program Introduction: Jill Fisch, Wharton  9:00 - 10:30 <b>Session 1</b>  Municipal Securities Regulation <i>David Skeel</i>  Break 10:30 - 10:45 Jessica Kane, Mike Post, Cindy Friedlander Break 10:30 - 10:45  10:45 - 12:15 <b>Session 2</b>  Crowdfunding Anti-Money Laundering Regulations <i>Chris Brummer</i>  Group Photo & Lunch 12:15 - 1:30  1:30 - 2:45 <b>Session 3</b>  Dodd-Frank <i>David Skeel</i> Break 2:45 - 3:00  3:00 - 4:20 <b>Session 4</b>  Broker-Dealer Litigation, Arbitration & Enforcement Proceedings <i>Jill Fisch, Rick Berry</i> Break 4:20 - 5:00 Homework  Dinner 6:00 - 8:00	9:00 - 10:30 <b>Session 5</b>  Dodd-Frank  Break 10:30 - 10:45  10:45 - 12:15 <b>Session 6</b>  Crowdfunding <i>Chris Brummer</i>  Group Photo & Lunch 12:15 - 1:30  1:30 - 3:00 <b>Session 7</b>  Insider Trading <i>Jill Fisch</i> Break 3:00 - 3:15  3:15 - 4:45 <b>Session 8</b>  Market Regulation <i>Dan Hawke</i> Break 4:45 - 5:00 Homework  Dinner 6:00 - 8:00	9:00 - 10:30 <b>Session 9</b>  Communications with the Public: FINRA Rule 2210 <i>James Fanto</i> Break 10:30 - 10:45  10:45 - 12:15 <b>Session 10</b>  Books, Records, Reports & Sales Practice Compliance <i>James Fanto</i>  Working Lunch 12:15 - 1:30  1:30 - 3:00 <b>Session 11</b>  Investment Adviser Regulation <i>Jim Angel</i> Break 3:00 - 3:15  3:15 - 4:45 <b>Session 12</b>  Foreign Markets & Securities Regulation <i>Jim Angel</i> Break 4:45 - 5:00 Reception 6:00-6:30  Speaker: Jack Brennan Dinner 6:30 - 8:00	9:00 - 10:30 <b>Session 13</b>  Conflicts of Interest <i>Dan Sibears, Bob Mooney</i> Break 10:30 - 10:45  10:45 - 12:15 <b>Session 14</b>  International Financial Regulation <i>Chris Brummer</i>  Lunch 12:15 - 1:30  1:30 - 3:00 <b>Session 15</b>  Top Compliance Challenges <i>Geoff Miller</i> Break 3:00 - 3:15  3:15 - 4:45 <b>Session 16</b>  Advanced Suitability: Case Simulation <i>Bob Mendelson</i> Break 4:45 - 5:00 Homework  Dinner 6:00 - 8:00	9:00 - 10:30 <b>Session 17</b>  Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i> Break 10:30 - 10:45  10:45 - 12:15 <b>Session 18</b>  Business Ethics in the Financial Industry <i>Bill Laufer, Djordjija Petkoski</i>  Lunch 12:15 - 1:30  1:30 - 3:30  Assessment  Thank you for attending Wharton Executive Education  Safe Travels!