FINRA Institute at Wharton
Certified Regulatory and Compliance Professional (CRCP) Program Week 1
August 19 - 23, 2013

Faculty Directors:
Eric Orts
Jill Fisch

Program Director:
Shannon McAlinden

Program Manager:
Alyssa Greco

Program Coordinator:
Courtney Clarahan

All Meals, Classes and Accommodations:
Steinberg Conference Center
255 South 38th Street
Philadelphia, PA 19104
Phone: 215.386.8300
Fax: 215.573.3426

Classroom:
Yasuda Amphitheatre

Monday, August 19, 2013	**Tuesday, August 20, 2013**	**Wednesday, August 21, 2013**	**Thursday, August 22, 2013**	**Friday, August 23, 2013**
Registration 7:30 - 8:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00	Breakfast 8:00 - 9:00
Breakfast 7:30 - 8:30	9:00 - 10:30 Session 5 Enhancing Professional Conduct in the Financial Services Industry Eric Orts	9:00 - 10:30 Session 9 SROs and Other Regulators FINRA	9:00 - 10:30 Session 13 Broker-Dealer Registration James Fanto	9:00 - 10:30 Session 17 Managing Conflicts of Interest FINRA Eric Orts
8:30 - 9:00 Program Mission: Cathy Mattax (FINRA) Program Logistics: Wharton Program Introduction: Eric Orts (Wharton)				
9:00 - 10:30 Session 1 Financial and Securities Regulation: An Overview Eric Orts	Break 10:30 - 10:45	Break 10:30 - 10:45	Break 10:30 - 10:45	Break 10:30 - 10:45
Break 10:30 - 10:45	10:45 - 12:15 Session 6 Exempt Offerings and Transactions Jill Fisch	10:45 - 12:15 Session 10 Resale of Restricted Securities and Civil Liability under the Securities Act Jill Fisch	10:45 - 12:15 Session 14 Broker-Dealer Regulation: Suitability Jim Wrona James Fanto	10:45 - 12:15 Session 18 Update from Regulators Dan Sibears Richard Hannibal Moderated by Eric Orts
10:45 - 12:15 Session 2 Securities Act of 1933 Stephen Choi	Class Photo 12:15 - 12:30 Lunch 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30	Lunch 12:15 - 1:30
Lunch 12:15 - 1:30	1:30 - 3:00 Session 7 Securities Exchange Act of 1934 Jill Fisch	1:30 - 3:00 Session 11 Financial Products: Structured Products, Swaps and Derivatives Krishna Ramaswamy	1:30 - 3:00 Session 15 Broker-Dealer Regulation: Supervision James Fanto	1:30 - 3:30 Assessment
1:30 - 3:00 Session 3 Public Offering Registration Process Stephen Choi	Break 3:00 - 3:15	Break 3:00 - 3:15	Break 3:00 - 3:15	
Break 3:00 - 3:15	3:15 - 4:45 Session 8 Investment Company Act and Advisers Act Andrew Siegel	3:15 - 4:45 Session 12 Federal Antifraud Rules Eric Orts	3:15 - 4:45 Session 16 Broker-Dealer Regulation: Margin and Financial Responsibility Grace Vogel James Fanto	
3:15 - 4:45 Session 4 Enhancing Professional Conduct in the Financial Services Industry Eric Orts	Break 4:45 - 5:00	Break 4:45 - 5:00	Break 4:45 - 5:00	
Break 4:45 - 5:00	5:00 - 6:00 Groups Meet	5:00 - 5:45 FINRA's New Regulatory/Rulemaking Developments & Resources Chip Jones, FINRA Member Relations	5:00 - 6:00 Groups Meet: Assessment Preparation	
5:00 - 6:00 Groups Meet				
Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	BBQ Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	