

FINRA Institute at Wharton
Certified Regulatory and Compliance Professional (CRCP) Program Week 1
August 11 - 15, 2014

Monday, August 11, 2014		Tuesday, August 12, 2014		Wednesday, August 13, 2014		Thursday, August 14, 2014		Friday, August 15, 2014	
8:30 - 9:00 Registration 7:30 - 8:00 Breakfast 7:30 - 8:30	9:00 - 10:30 Session 5 Enhancing Professional Conduct in the Financial Services Industry	9:00 - 10:30 Session 9 Enhancing Professional Conduct in the Financial Services Industry	9:00 - 10:30 Session 13 Capital Markets	9:00 - 9:45 Session 17 Retrospective Rule Review Moderated by Eric Orts	8:30 - 9:00 Program Mission: FINRA Program Logistics: Wharton Program Introduction: Wharton 9:00 - 10:30	9:00 - 10:30 Session 8 Top Compliance Challenges Moderated by Chip Jones	9:00 - 10:30 Session 10 Selected Topics: Securities Exchange Act	9:45 - 10:30 Session 18 Managing Conflicts of Interest Moderated by Eric Orts	9:00 - 9:45 Session 19 Ask the Regulators
9:00 - 10:30 Session 1 Financial and Securities Regulation: An Overview	10:45 - 12:15 Session 2 Public Offerings & Civil Liabilities	10:45 - 12:15 Session 6 Exempt Offerings and Resales	10:45 - 12:15 Session 10 Selected Topics: Securities Exchange Act	10:45 - 12:15 Session 14 Broker-Dealer Regulation: Suitability	10:45 - 12:15 Session 1 Financial and Securities Regulation: An Overview	10:45 - 12:15 Session 4 Business Ethics & Compliance	10:45 - 12:15 Session 6 Exempt Offerings and Resales	10:45 - 12:15 Session 18 Managing Conflicts of Interest Moderated by Eric Orts	10:45 - 12:15 Session 19 Ask the Regulators
10:45 - 12:15 Session 2 Public Offerings & Civil Liabilities	1:30 - 3:00 Session 7 Exempt Offerings and Resales	1:30 - 3:00 Session 11 Selected Topics: Securities Exchange Act	1:30 - 3:00 Session 15 Broker-Dealer Regulation: Supervision	1:30 - 3:00 Session 15 Dan Sibears, Bob Colby, Suzanne McGovern and Lourdes Gonzalez Moderated by Eric Orts	1:30 - 3:00 Class Photo & Lunch 12:15 - 1:30 Stephen Choi	1:30 - 3:00 Session 3 Public Offerings & Civil Liabilities	1:30 - 3:00 Session 7 Exempt Offerings and Resales	1:30 - 3:00 Session 14 Broker-Dealer Regulation: Suitability	1:30 - 3:30 Session 19 Ask the Regulators
1:30 - 3:00 Session 3 Public Offerings & Civil Liabilities	3:15 - 4:45 Session 4 Business Ethics & Compliance	3:15 - 4:45 Session 12 Investment Adviser Regulation	3:15 - 4:45 Session 16 Broker-Dealer Regulation: Financial Responsibility and Managing Risks	3:15 - 4:45 Session 16 James Fanto, Bill Wollman	3:15 - 4:45 Session 4 Business Ethics & Compliance	3:15 - 4:45 Session 4 Business Ethics & Compliance	3:15 - 4:45 Session 12 Investment Adviser Regulation	3:15 - 4:45 Session 16 Broker-Dealer Regulation: Financial Responsibility and Managing Risks	3:15 - 4:45 Session 16 James Fanto, Bill Wollman
3:15 - 4:45 Session 4 Business Ethics & Compliance	5:00 - 6:00 Homework	5:00 - 6:00 Homework	5:00 - 6:00 Homework Assessment Prep	5:00 - 6:00 Homework Assessment Prep	5:00 - 6:00 Homework	5:00 - 6:00 Homework	5:00 - 6:00 Homework	5:00 - 6:00 Homework Assessment Prep	5:00 - 6:00 Homework Assessment Prep
5:00 - 6:00 Homework	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00	Dinner 6:00 - 8:00

Faculty Directors:
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All meals, classes and accommodations:
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Phone: 215.386.8300
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Classroom:
Yasuda Amphitheatre