

TIMES	Sunday, July 13	Monday, July 14	Tuesday, July 15	Wednesday, July 16	Thursday, July 17	Friday, July 18
8:00 a.m. – 8:50 a.m.		Breakfast	Breakfast	Breakfast	Breakfast	Breakfast 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	Program Mission: • Lisa DeVos Program Logistics: • Gloria Carls Program Introduction: • Professor James Angel	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.	MEALS: Faculty Club Restaurant  CLASSROOM: McDonough School of Business	SESSION 1: Fundamentals of Financial Regulation • James Angel	SESSION 5: Exempt Offerings and Resales I • Samuel Flax	SESSION 9: Broker-Dealer Regulation: Reg BI and Form CRS • James Fanto • James Wrona	SESSION 13: Communications With the Public: Advertising and Social Media • James Fanto • Ira Gluck	SESSION 17: FinTech 101 8:30 a.m. - 10:00 a.m. • John Jacobs
10:30 a.m. – 10:45 a.m.	Rafik B. Hariri Building 4th Floor, Room 440 37th and O Streets Washington, DC 20057	Break	Break	Break	Break	Break 10:00 a.m. - 10:15 a.m.
10:45 a.m. – 12:15 p.m.	ACADEMIC DIRECTOR: Professor James Angel  PROGRAM MANAGER: Gloria Carls	SESSION 2: Public Offerings and Civil Liabilities I • Donald Langevoort	SESSION 6: Exempt Offerings and Resales II • Samuel Flax	SESSION 10: Broker-Dealer Regulation: Books, Records, Reports and Sales Practice Compliance • James Fanto • Tina Tambiah	SESSION 14: Broker-Dealer Regulation: Supervision • James Fanto • Kosha Dalal	SESSION 18: FinTech 201 and Emerging Trends in Financial Markets and Regulation 10:15 a.m. - 11:45 a.m. • James Angel
12:15 p.m. – 1:30 p.m.		Lunch	Lunch	Lunch	Lunch	Box Lunch (provided) 11:45 a.m. - 12:15 p.m.  <b>ASSESSMENT</b> 12:15 p.m. - 2:45 p.m.
1:30 p.m. – 3:00 p.m.		SESSION 3: Public Offerings and Civil Liabilities II • Donald Langevoort	SESSION 7: Securities Exchange Act I • Donald Langevoort	SESSION 11: Broker-Dealer Regulation: Financial Responsibility and Managing Risks (Net Capital) • James Fanto • Raymond Lombardo	SESSION 15: Market Structure • James Angel	
3:00 p.m. – 3:15 p.m.		Break	Break	Break	Break	<b>THANK YOU FOR ATTENDING. SAFE TRAVELS!</b>
3:15 p.m. – 4:45 p.m.		SESSION 4: Culture of Compliance • Don De Amicis	SESSION 8: Securities Exchange Act II • Donald Langevoort	SESSION 12: Effective Communications Within the Firm • Jeanine Turner	SESSION 16: Broker-Dealer Regulation: Best Execution in Equities and Fixed Income • James Angel	
4:45 p.m. – 5:00 p.m.		Break	Break	Break	Break	
5:00 p.m. – 6:00 p.m.	<b>WELCOME RECEPTION</b> 5:30 p.m. – 7:00 p.m.	Group Exercise	Group Exercise	Group Exercise	Group Exercise	
6:00 p.m. – 8:00 p.m.		Off-Campus Dinner 6:00 p.m. – 8:30 p.m.	Dinner and Guest Speaker—TBD	Dinner at Hotel	Dinner at Hotel	