



## SEC Graduate Program – July 20-23, 2010

### Tuesday, July 20, 2010

- Location:* Multipurpose Room, Lower Level, SEC
- 8:00 – 8:45 Registration and Continental Breakfast
- 8:45 – 9:15 Program Introduction  
Speakers: Kathy Floyd, Deputy Director, Investor Education  
SEC Office of Investor Education and Advocacy
- Steve Wheeler, Director  
Corporate Giving / Archives / Education  
NYSE Euronext
- 9:15 – 10:00 Welcoming Remarks  
Speakers: Lori Schock, Director  
SEC Office of Investor Education and Advocacy
- Introducing:
- Elisse Walter, Commissioner  
Securities and Exchange Commission
- 10:00 – 10:10 Break
- 10:10 – 10:40 Overview of U.S. Financial Regulatory Framework  
Speaker: Richard Ferlauto, Deputy Director, Policy  
SEC Office of Investor Education and Advocacy
- 10:40 – 11:10 MarketWatch Tour  
Speaker: Alton Harvey, Office Chief for MarketWatch  
Division of Trading and Markets
- 11:10 – 12:00 Overview of the Recent Crisis  
Speaker: Stewart Mayhew, Deputy Chief Economist  
SEC Division of Risk, Strategy, and Financial Innovation
- 12:00 – 1:00 Lunch Presentation: Ponzi, Pyramid and Affinity Schemes  
Speaker: Kurt Gresenz, Senior Advisor and Branch Chief,  
International Enforcement  
SEC Office of International Affairs

1:00 – 1:10            Break

*Location:*            *Conference Room 6000, SEC*

1:10 – 2:00            Trading and Markets  
Speaker:            Lourdes Gonzalez, Assistant Chief Counsel for Sales  
Practices  
SEC Division of Trading and Markets

2:00 – 2:10            Break

2:10 – 3:00            Enforcement  
Speaker:            Donna Norman, Senior Counsel  
SEC Division of Enforcement

3:00 – 3:10            Break

3:10 – 4:00            Corporation Finance  
Speaker:            Brian Breheny, Deputy Director for Regulatory Policy  
SEC Division of Corporation Finance

4:00 – 4:15            Day One Wrap-Up

**Wednesday, July 21, 2010**

*Location:*            *Media Room A 4121, Department of the Treasury*

9:00 – 10:00            Check-in, Continental Breakfast, and Day 2 Overview

10:00 – 10:40            Financial Education  
Speaker:            Michelle Greene, Deputy Assistant Secretary  
Financial Education and Financial Access  
Department of Treasury

10:40 – 10:50            Break

10:50 – 11:50            Perspectives from Banking Regulators  
Speakers:            Beth Castro, Director for Community Development  
Office of the Comptroller of the Currency

                                  Luke Reynolds, Chief of Outreach  
Federal Deposit Insurance Corporation

11:50 – 12:00            Break

- 12:00 – 12:30 Commodity Futures Trading Commission (CFTC)  
Speaker: Chul Park, Senior Risk Analyst  
CFTC, Division of Clearing and Intermediary Oversight
- 12:30 – 1:00 *Travel to FINRA (Short Walk)*
- 1:00 – 3:00 Financial Industry Regulatory Authority (FINRA) Lunch Presentations
- Speakers: Geraldine Walsh, Deputy Director  
FINRA Investor Education
- Robert Ganem, Program Director  
FINRA Investor Education
- Richard J. Vagnoni, Senior Economist  
FINRA Office of Economic Analysis
- Joseph P. Savage, Vice President  
FINRA Investment Companies Regulation
- 3:00 – 3:30 *Travel to White House Conference Center (Short Walk)*
- 3:30 – 4:00 White House Presentation
- Speaker: Andrew Metrick, Chief Economist  
Council of Economic Advisers
- 4:00 – 4:15 Day Two Wrap-Up

**Thursday, July 22, 2010**

- Location:* 10<sup>th</sup> Floor Ceremonial Room, SEC
- 8:00 – 9:00 Check-in, Continental Breakfast, and Day 3 Overview
- 9:00 – 10:00 Discussion with SEC Chairman  
Speaker: Mary Schapiro, Chairman  
Securities and Exchange Commission
- 10:00 – 10:30 *Travel to Rayburn House Office Building (Travel by Bus)*
- 10:30 – 11:15 Role of Congress in the Marketplace  
Speaker: The Honorable Judy Biggert, U.S. House of  
Representatives
- 11:15 – 12:00 *Travel to the Federal Reserve and Check-in (Travel by Bus)*

- 12:00 – 1:00            Lunch
- 1:00 – 1:45            Structure and Functions of the Federal Reserve  
Speaker:        Sara Messina, Public Affairs Specialist  
                         Federal Reserve, Office of Public Affairs
- 1:45 – 3:00            Macroeconomic Outlook and the Fed's Response to the Financial Crisis  
Speaker:        Glenn Follette, Senior Economist  
                         Federal Reserve, Division of Research and Statistics
- 3:00 – 3:15            Day Three Wrap-Up (Buses back to SEC)

**Friday, July 23, 2010**

*Location:*            *Multipurpose Room, Lower Level, SEC*

- 8:00 – 9:00            Check-in, Continental Breakfast, and Day 4 Overview
- 9:00 – 9:50            Compliance Inspections and Examinations  
Speakers:        Laura Magyar, Branch Chief  
                         SEC Compliance Inspections and Examinations  
  
                         Lisa Wardlaw, Attorney  
                         SEC Office of Compliance Inspections and Examinations
- 9:50 – 10:00            Break
- 10:00 – 10:50            Investment Management  
Speaker:        Doug Scheidt, Associate Director  
                         SEC Division of Investment Management
- 10:50 – 11:40            Investor Education  
Speaker:        Lori Schock, Director  
                         SEC Office of Investor Education and Advocacy
- 11:40 – 12:00            Presentation of Certificates and Wrap-Up

SEC Headquarters  
100 F St NE  
Washington, DC 20549  
Entrance located on F St NE at the intersection with 1<sup>st</sup> St NE

Department of the Treasury  
1500 Pennsylvania Ave NW  
Washington, DC 20220  
Entrance located on Pennsylvania Ave NW near the intersection of 15<sup>th</sup> St NW

Financial Industry Regulatory Authority (FINRA)  
1735 K St NW  
Washington, DC 20006  
Entrance located on K St NW near the intersection of 17<sup>th</sup> St NW/Connecticut Ave NW

White House Conference Center  
726 Jackson Pl NW  
Washington, DC 20506

Rayburn House Office Building  
Location: Southwest of the Capitol on a side bounded by Independence Ave, South Capitol Street, First Street and C Street, S.W.

Federal Reserve  
20th St NW and Constitution Avenue NW  
Washington, DC 20551  
Entrance located on C St NW between 20<sup>th</sup> St NW and 21<sup>st</sup> St NW