



SEC Graduate Program

JULY 23-26, 2013

Tuesday, July 23, 2013

Location: Multipurpose Room, SEC Headquarters

8:00a – 8:30a **REGISTRATION AND CONTINENTAL BREAKFAST**

8:30a – 8:45a **PROGRAM INTRODUCTION**

Speakers: *Kathy Floyd*, Deputy Director for Investor Education
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

Michelle Greene, Vice President and
Head of Corporate Responsibility
NYSE Euronext

8:45a – 9:30a **WELCOME**

Speakers: *Lori Schock*, Director
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

Introducing:

Elisse Walter, Commissioner
U.S. Securities and Exchange Commission

9:30a – 9:40a Break

9:40a – 9:50a **OVERVIEW OF THE 2013 SEC GRADUATE PROGRAM**

Speaker: *Kathy Floyd*, Deputy Director for Investor Education
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

9:50a – 10:55a **HISTORY OF THE U.S. SECURITIES AND EXCHANGE COMMISSION AND THE LAWS THAT GOVERN THE SECURITIES INDUSTRY**

Speaker: *Owen Donley*, Chief Counsel
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

10:55a – 11:20a Group Picture / Break

11:20a – 12:00p **THE SEC**
Speaker: *Lori Schock*, Director
 Office of Investor Education and Advocacy
 U.S. Securities and Exchange Commission

12:00p – 12:30p Room Change / Break

Location: *SEC University Room, SEC Headquarters*

12:30p – 1:20p **LUNCH PRESENTATION: UNDERSTANDING FRAUDS**
Speaker: *Kurt Gresenz*, Assistant Director
 Office of International Affairs
 U.S. Securities and Exchange Commission

1:20p – 1:30p Break

1:30p – 2:20p **EQUITIES**
Speaker: *Barry Summer*, Associate Director
 Division of Corporation Finance
 U.S. Securities and Exchange Commission

2:20p – 3:10p **MUTUAL FUNDS & EXCHANGE-TRADED FUNDS**
Speaker: *Mark Uyeda*, Senior Special Counsel
 Division of Investment Management
 U.S. Securities and Exchange Commission

3:10p – 3:30p **DAY ONE WRAP-UP**

Wednesday, July 24, 2013

Location: Cash Room, U.S. Department of the Treasury

8:00a – 8:45a **CHECK-IN, CONTINENTAL BREAKFAST, AND DAY 2 OVERVIEW**

8:45a – 9:00a **WELCOME**

Speaker: *Melissa Koide*, Deputy Assistant Secretary
Office of Financial Access, Education, and
Consumer Protection
U.S. Department of the Treasury

9:00a – 11:30a

BONDS

Speakers: **CORPORATE BONDS**
Sean Davy, Managing Director
Capital Markets Group
Securities Industry and Financial Markets Association

MUNICIPAL BONDS, MSRB, & EMMA

Justin Pica, Director
Product Management and Market Transparency
Municipal Securities Rulemaking Board

TREASURY BILLS, NOTES, BONDS, & TIPS

Dara Seaman, Assistant Commissioner
Treasury Securities Services
Bureau of the Fiscal Service
U.S. Department of the Treasury

11:30p – 12:10p *Travel to U.S. Commodity Futures Trading Commission, Check-in*

Location: Conference Center, U.S. Commodity Futures Trading Commission

12:10p – 1:30p **LUNCH PRESENTATION: INTRODUCTION TO THE CFTC**

Speakers: *Michael Herndon*, Consumer Outreach Officer
Office of Consumer Outreach
U.S. Commodity Futures Trading Commission

Mark Wetjen, Commissioner
U.S. Commodity Futures Trading Commission

1:30p – 2:30p **COMMODITIES AND DERIVATIVES**

Speaker: *JonMarc Buffa*, Senior Trial Attorney
Division of Enforcement
U.S. Commodity Futures Trading Commission

2:30p – 2:40p Break

2:40p – 3:30p

FINRA INVESTOR EDUCATION FOUNDATION

Speaker: *Gerri Walsh*

President, FINRA Investor Education Foundation
Senior Vice President, FINRA Investor Education

3:30p – 4:00p

DAY TWO WRAP-UP

Thursday, July 25, 2013

Location: Closed Commission Hearing Room, SEC Headquarters

8:30a – 9:15a **CHECK-IN, CONTINENTAL BREAKFAST, AND DAY 3 OVERVIEW**

9:15a – 10:00a **DISCUSSION WITH THE SEC CHAIR**

Speakers: *Lori Schock*, Director
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

Introducing:

Mary Jo White, Chair
U.S. Securities and Exchange Commission

10:00a – 10:10a Break

10:10a – 11:00a **HOW THE EQUITIES MARKETS WORK**

Speaker: *Gregg Berman*, Associate Director
Office of Analytics and Research
Division of Trading and Markets
U.S. Securities and Exchange Commission

11:00a – 11:50a **HEDGE FUNDS**

Speaker: *Alpa Patel*, Senior Counsel
Private Funds Branch
Investment Adviser Regulation Office
Division of Investment Management
U.S. Securities and Exchange Commission

11:50a – 12:30p *Travel to the Federal Reserve, Check-in*

Location: Dining Room, Martin Building, Federal Reserve Board

12:30p – 1:45p **LUNCH: FEDERAL RESERVE EDUCATOR RESOURCES AND PROGRAMS**

Speaker: *Sara Messina*, Public Affairs Specialist
Public Affairs Office
Federal Reserve Board

1:45p – 2:00p Room Change / Break

Location: Board Room, Eccles Building, Federal Reserve Board

2:00p – 2:45p **U.S. ECONOMIC OVERVIEW**

Speaker: *David Lebow*, Associate Director
Research and Statistics Division
Federal Reserve Board

2:45p – 3:00p Break

3:00p – 3:45p **MONETARY POLICY**
Speaker: *James Clouse*, Deputy Director
Monetary Affairs Division
Federal Reserve Board

3:45p – 4:00p **DAY THREE WRAP-UP**

Friday, July 26, 2013

Location: Multipurpose Room, SEC Headquarters

8:30a – 9:00a **CHECK-IN, CONTINENTAL BREAKFAST, AND DAY 4 OVERVIEW**

9:00a – 9:30a **NASAA**

Speaker: *Bob Webster*, Director of Communications
North American Securities Administrators Association

9:30a – 11:30a **MARKETWATCH ROOM, IT FORENSIC LAB TOUR, INVESTOR EDUCATION RESOURCES**

Speakers: *Alton Harvey*, Office Chief for MarketWatch
Division of Trading and Markets
U.S. Securities and Exchange Commission

David Sheldon, Branch Chief
IT Forensics Laboratory
Division of Enforcement
U.S. Securities and Exchange Commission

Kathy Floyd, Deputy Director for Education
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

11:30a – 12:15p **CLOSING AND PRESENTATION OF CERTIFICATES**

Speaker: *Daniel Gallagher*, Commissioner
U.S. Securities and Exchange Commission

12:15p – 1:00p **PROGRAM WRAP-UP AND LUNCH**