



BDA Fixed Income Legal & Compliance Roundtable Agenda

*Quarles & Brady LLP Offices
1701 Pennsylvania Ave, NW, Suite 700
2:30pm – 5:15pm
October 24, 2018*

- 2:00 – 2:30** **Arrive**
- 2:30- 2:35** **Introductions and Welcome**
Brett Bolton
Bond Dealers of America
- 2:35 – 3:15** **Discussion on Amendments to SEC
Rule 15c2-12** (Effective Feb 2019)
- Discussion Leader:**
Gregg Bienstock
CEO and Co-Founder, Lumesis
- 3:15- 4:00** **Regulatory Discussion**
- Discussion Leaders:**
Joey Frebes, Senior Vice-President,
KeyBanc Capital Markets

Daniel Deaton
Partner, Nixon Peabody

3:45 – 4:00

Break

4:00- 5:00

Continued Regulatory Discussion

5:00- 5:15

Regulatory Recap

Discussion Topics

- FINRA-MSRB Mark-Up/Down Confirmation Rules
 - Post Implementation Issues/Exams
 - FINRA Mark-Up Report Card
 - FINRA “Sweep”
- Charitable Contributions/Sponsorships
 - MSRB Compliance Corner
- Cybersecurity – Fraud in Public Finance
 - MSRB Compliance Tip
- MSRB Request for Comment:
 - Draft Interpretive Guidance Pennying
 - Draft Amendment to Best Ex Guidance
- MSRB Advertising Regulations G-40/G-21
 - MSRB Compliance Guidance and Resources
 - Implementation Challenges
 - Effective 2/7/2019
- MSRB Primary Offering Practices
 - MSRB Request for Comment
 - Issues/Regulation
- MSRB Annual Advisory’s - BD and MA
- Exam Topics/Inquiries and Areas of Focus
- Enforcement Issues

- “Flipping”/Pre-Arranged Trading
inquires/enforcement

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