



BDA Fixed Income Legal & Compliance Roundtable Agenda

*Nixon Peabody Offices
799 9th Street, NW, 5th Floor
1:30pm – 5:00pm
June 7, 2018*

- 1:00 – 1:30 Arrive**
- 1:30 - 1:35 Introductions and Welcome**
- 1:35 – 2:45 Roundtable Discussion**

Discussion Topics

- Retail Confirm Rule – Update from BDA staff
- SEC Fiduciary Rule-Update from BDA staff
- Minimum Denominations
- SEC Proposed Amendments to 15c2-12
- Conflicts of Interest - charitable contributions/Sponsorships – Approvals/Disclosures (G-17, G-42 and OS's)
- FinCen Rule – Beneficial Ownership in Public Finance – negotiated/competitive deals

- VRDO Remarketing whistleblower suit – fraud and collusion over rate resets
- Role of Muni Advisor in conduit financing
- Public-Private Partnerships

2:45 – 3:00 Break

3:00 - 4:15 Regulatory Panel

Panelists

- Rebecca Olsen, Director, Office of Municipal Securities, SEC
- Ahmed Abonamah, Senior Counsel, Office of Municipal Securities, SEC
- Michael Post, General Counsel, MSRB
- Lanny Schwartz, Chief Regulatory Officer, MSRB
- Stephanie Dumont, Senior Vice President and Director of Capital Markets Policy, FINRA
- Alex Ellenberg, Associate General Counsel, FINRA

4:15 – 5:00 Regulatory Recap

Dinner to follow at 6:00pm

Bibiana Osteria

1100 New York Ave NW

Hosted & Dinner Sponsored by:



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