



BDA Fixed Income Legal & Compliance Roundtable Agenda

Nixon Peabody

799 9th Street NW

Suite 500

1:30-2:00 **Arrive**

2:00-2:15 **Welcome and Introductions**

2:15- 2:35 **G-23 Update**

Michael Decker, Consultant, *BDA*

2:35-3:45 **Roundtable Discussion**

- Lorenzo vs. SEC- Dissemination of False Information
- SEC 15c2-12 Amendments #15 and #16 – post effective date update (Including G-47 Disclosures)
- Mark-Up/Down Confirmation Disclosure Issues – Usefulness of FINRA Report Card
- MSRB/FIMSAC Pennying Update
- Flipping and Pre-arranged trading – exams and enforcement

- MSRB proposed G-34 Amendments
- MSRB proposed G-17 Amendments
- Primary Offering Practices – G-11 and G-32
- MSRB G-21 Amendments for BDs/MAs
- Recent Sweeps, Enforcement and Examination Findings

3:45-4:00 **Break**

4:00-5:00 **Regulator Discussion**

Ahmed Abonamah, Deputy Director, *SEC Office of Municipal Securities*

Cynthia Friedlander, Senior Director, Fixed Income Regulation, *FINRA*

Mike Post, General Counsel, *MSRB*

5:00-5:30 **Regulatory Recap**

6:00pm **Dinner**

Fig & Olive
City Center DC
934 Palmer Ally NW

BDA THANKS YOU FOR YOUR SUPPORT!

MEETING HOST:



**NIXON
PEABODY**

EVENT SPONSORS:

Quarles & Brady LLP

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By Lumesis