



Retail Fixed Income Roundtable

Hosted by Wells Fargo Advisors

May 19, 2016

8:30am – 11:30am

Discussion Topics:

Regulatory / Enforcement Issues

- Best Execution Compliance
- Retail Confirmation Markup Disclosure Proposals
- MSRB G-30 Guidance Amendments on Markup Computation
- Suitability: Pre- and Post-Trade Reviews
- Compliance with Minimum Denomination Rules
- Retail Impact of FINRA 4210 TBA Margin Amendments
- Potential Future Retail Impact due to a FINRA Extended Settlement Rule
- Issues with Municipal Shorts, Including Amendments to G-12 for Close-Outs

Market Issues

- Impact of Volatile Market Conditions on Retail Investors
- The Retail Impact of Widening Credit Spreads
- Electronic Trading and Market Liquidity
- Structured Products - Trends and Opportunities for Retail Investors