



BDA Fixed Income Legal & Compliance Roundtable Agenda

*Nixon Peabody Offices
799 9th Street, NW, 5th Floor
1:30pm – 5:30pm
June 8, 2017*

- 1:00 – 1:30** **Arrive**
- 1:30 – 3:30** **Roundtable Discussion**

Discussion Topics

- Retail Confirm Rule – Update from BDA staff
- Minimum Denominations – Update from BDA staff
- SEC Proposed Amendments to 15c2-12
 - BDA comment letter
- DOL Rule Transition – Update from BDA staff
- Due Diligence – Discussion led by Nixon Peabody
 - SEC V. Miami
 - Reliance on auditors
 - Checklists – when do firms use them?
- Issue Price – Update from Nixon Peabody
- Examination experiences
 - MA Rule
 - Best Execution
 - Markups/Markdowns
- Tax Reform & Infrastructure Packages – Update from BDA and Nixon Peabody

- 4:00 – 5:30** **Regulatory Panel**

Panelists

- Ritta McLaughlin, Chief Education Officer, MSRB
- Gail Marshall, Associate General Counsel, MSRB
- Cindy Friedlander, Director, Fixed Income Regulation, FINRA
- Jessica Kane, Director, Office of Municipal Securities, SEC

6:00

Dinner – Sponsored by Lumesis

Dinner

- Zaytinya, 701 9th Street, NW

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