



BDA Fixed Income Legal & Compliance Roundtable Agenda

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

1:00 – 1:30 **Arrive**

1:30 – 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

4:15 – 5:00 Regulatory Recap

Dinner Sponsored by Nixon Peabody

Bibiana Osteria

1100 New York Ave NW