



Municipal Securities Rulemaking Board

Mark-up Disclosure Implementation Forum

November 2, 2017

Municipal Securities Rulemaking Board

1300 I Street, NW, Suite 1000

Washington, DC 20005

AGENDA

1:00 p.m. - 1:05 p.m.

Welcome

Ritta McLaughlin, Chief Education Officer, MSRB

1:05 p.m. - 1:15 p.m.

Opening Remarks

Lynnette Kelly, Executive Director, MSRB

1:15 p.m. – 1:35 p.m.

Mark-up Disclosure: Perspective and Framework

Robert Colby, Chief Legal Officer, FINRA

Michael L. Post, General Counsel, MSRB

1:35 p.m. - 2:40 p.m.

Mark-up Disclosure: Questions and Answers

Participants can ask MSRB and FINRA staff questions about the mark-up disclosure rules and discuss considerations for compliance, and development of policies and procedures.

Michael L. Post, General Counsel, MSRB - *Moderator*

Saliha Olgun, Assistant General Counsel, MSRB

Alex Ellenberg, Associate General Counsel, FINRA

Patrick Geraghty, Vice President, Market Regulation, FINRA

2:40 p.m. – 2:50 p.m.

Break

2:50 p.m. – 4:00 p.m.

Implementation: Perspectives and Considerations

Industry panelists will share perspectives on implementation processes, options and solutions, and discuss their firms' efforts to implement policies and procedures to comply with the mark-up disclosure requirements.

Margaret Blake, Associate General Counsel, MSRB - *Moderator*

Daren Colaiacovo, Director, Retail Trading, RBC Capital Markets

Kristin Maher, Managing Director, Head of Fixed Income Securities, Wells Fargo Advisors

Damon Meyer, Vice President, Fixed Income Compliance, Crews & Associates, Inc.

Krista Ryan, Vice President and Associate General Counsel, Fidelity Capital Markets

4:00 p.m. – 4:10 p.m.

Closing Remarks

Ritta McLaughlin, Chief Education Officer, MSRB

4:10 p.m. – 5:30 p.m.

Reception
