



MSRB

FINRA

Compliance Outreach for Municipal Advisors and Municipal Dealers

Byron Rogers Federal Building

1961 Stout St
Denver, CO 80294

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Agenda

All times are listed in Mountain Time (MT).

Wednesday, November 20

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#1875 381



9:00 a.m. – 9:40 a.m. **Check-in and Breakfast**

9:40 a.m. – 9:50 a.m. **Remarks**

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Jason Burt, Director of Denver Regional Office, SEC

9:50 a.m. – 10:50 a.m. **Municipal Advisor Disclosure Obligations**

Moderator: **Mark Elion**, SEC

Panelists:

Preston Swapp, SEC

Drew Kintzinger, Hunton Andrews Kurth, LLC

Susan Gaffney, NAMA

10:50 a.m. – 11:00 a.m. **Break**

11:00 a.m. – 12:00 p.m. **Off-Channel Communications**

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Moderator: **Erik Sapin**, SEC

Panelists:

Dave Sanchez, SEC

Rebecca Olsen, SEC

Bri Joiner, MSRB

Bill Downey, FINRA

12:00 p.m. – 1:15 p.m. **Lunch (On Your Own)**

1:15 p.m. – 1:25 p.m. **Remarks**

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Ernesto Lanza, Chief Regulatory and Policy Officer, MSRB

1:25 p.m. – 2:25 p.m. **Avoiding Acting as an Unregistered Municipal Advisor**

Moderator: **Abha Mohla**, MSRB

Panelists:

Panelists:
Phil Gutman, FINRA
Emily Metzler, MuniCap, Inc.
Blake Morris, Hilltop Securities, Inc.
Mary Simpkins, SEC

2:25 p.m. – 2:35 p.m. **Break**

2:35 p.m. – 3:35 p.m. **Duties of Co-Managers**

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Moderator: **Michael Nouri**, FINRA

Panelists:

Adam Wendell, SEC
Ben Biles, American Veterans Group
Christine Reynolds, Orrick, Herrington & Sutcliffe LLP
Mark Borrelli, Huntingdon Securities, Inc.

3:35 p.m. – 3:45 p.m. **Break**

3:45 p.m. – 5:00 p.m. **Regulatory Outlook: Examinations and Enforcement Priorities**

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Moderator: **Frank Mazzarelli**, MSRB

Panelists:

Rebecca Olsen, SEC
Tina Barry, SEC
Meghan Ferguson, FINRA
Gene Davis, FINRA

Thursday, November 21

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8:00 a.m. – 8:20 a.m. **Breakfast**

8:20 a.m. – 8:30 a.m. **Remarks**

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Tiffany A. Buxton, Senior Director, Fixed Income Regulation, FINRA

8:30 a.m. – 9:30 a.m. **Municipal Advisor Statutory Fiduciary Duty**

Moderator: **Sarah Simmons**, FINRA

Panelists:

Victoria Nilsson, SEC
Ernesto Lanza, MSRB
Ed Fierro, Bracewell

9:30 a.m. – 9:40 a.m. **Break**

9:40 a.m. – 10:40 a.m. **Compliance Pain Points**

[Join Session](#)

Moderator: **Tiffany A. Buxton**, FINRA

Panelists:

Emilio Flores, Caldwell Flores Winters
Jennifer Hash, Zions Public Finance
Jeff Worf, Cabrera Capital Markets, LLC

10:40 a.m. – 10:50 a.m. **Break**

10:50 a.m. – 11:50 a.m.

Hot Topics in the Municipal Market

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Moderator: Adam Wendell, SEC

Panelists:

Dave Sanchez, SEC

Ernesto Lanza, MSRB

John Saxton, FINRA

Adam Bauer, Fieldman Rolapp

Dan McManus, Stifel Nicolaus & Co.

11:50 a.m. – 12:00 p.m.

Remarks

Dave Sanchez, Director of the Office of Municipal
Securities, SEC

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