



Compliance Outreach Program for Municipal Advisors

The Registration Process
November 10, 2016

Welcome (3:00 pm – 3:05 pm)

Ritta McLaughlin, *Chief Education Officer, MSRB*

Section 1: Registration Requirements for the SEC (3:05 pm – 3:30 pm)

Staff from the SEC's Office of Municipal Securities will discuss municipal advisor's initial and ongoing registration obligations under the SEC municipal advisor registration rule. Topics that will be covered include initial registration, annual updates and amendments to registration, and withdrawal from registration.

Ahmed Abonamah, *Attorney-Advisor, Office of Municipal Securities, SEC*

Section 2: Registration Requirements for the MSRB (3:30 pm – 4:00 pm)

Panelists, consisting of MSRB Staff, will discuss the obligations of municipal advisors relating to registration with the MSRB. Staff will review, in detail, the MSRB registration process as well as current ongoing registration obligations that municipal advisors have under the MSRB rules.

Gail Marshall, *Associate General Counsel-Enforcement Coordination, MSRB*
Ritta McLaughlin, *Chief Education Officer, MSRB*

Section 3: SEC and FINRA Examination Findings Relating to MSRB Registration Rules (4:00 pm – 4:15 pm)

SEC and FINRA Examination Staff will discuss common registration deficiencies.

Robert Miller, *Supervisory Attorney/Examination Manager, OCIE, SEC*
Bonnie Bowes, *Associate Director, Fixed Income Regulation, FINRA*

Q & A (4:15 pm – 4:30 pm)

Closing Remarks

Suzanne McGovern, *Assistant Director, OCIE, SEC*