



Municipal Securities Rulemaking Board

## Events and Meetings with MSRB Board Member Participation February – May 2019

[For additional information on MSRB events, please see the events calendar on our website.](#)

Event	MSRB Representatives	Format	Subject/Topics
<p><b>2019 Compliance Outreach Program for Municipal Advisors</b></p> <p>SEC's OCIE and OMS in partnership with the MSRB and FINRA February 7, 2019 8:00 am – 4:00 pm</p> <p>Hyatt Regency 5 Embarcadero Center San Francisco, CA</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> <li>• Renee Boicourt</li> <li>• Jerry Ford</li> <li>• Seema Mohanty</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• Gail Marshall, <i>Chief Compliance Officer</i></li> <li>• Ritta McLaughlin, <i>Chief Education Officer</i></li> <li>• Lanny Schwartz, <i>Chief Regulatory Officer</i></li> </ul>	<p>Panel Discussions</p>	<p>MSRB representatives will appear on four panels:</p> <ul style="list-style-type: none"> <li>• Fiduciary duty and MSRB Rule G-42</li> <li>• New and recently amended MSRB rules</li> <li>• Considerations for underwriters and municipal advisors</li> <li>• SEC and FINRA examination and enforcement</li> </ul>
<p><b>NAST 2019 Legislative Conference Focus Group</b></p> <p>February 11, 2019 2:00 pm – 2:30 pm 2:45 pm – 3:15 pm</p> <p>Mayflower Hotel 1127 Connecticut Avenue, NW Washington, DC</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Richard Ellis</li> <li>• Manju Ganeriwala</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Ritta McLaughlin, <i>Chief Education Officer</i></li> <li>• Michael Post, <i>General Counsel</i></li> <li>• Lanny Schwartz, <i>Chief Regulatory Officer</i></li> </ul>	<p>Focus Group</p>	<p>Focus group attendees will discuss:</p> <ul style="list-style-type: none"> <li>• Issuer interactions with underwriters and municipal advisors</li> <li>• "Pain points" in the market</li> <li>• Ways MSRB can encourage additional use and adoption of its EMMA® website</li> <li>• Additional MSRB resources to help facilitate positive change in the market</li> </ul>

Event	MSRB Representatives	Format	Subject/Topics
<p><b>Meeting with Regulated Entities</b></p> <p>February 19–20, 2019</p> <p>Chicago, IL</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> <li>• Julia Cooper</li> <li>• Seema Mohanty</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• John Bagley, <i>Chief Market Structure Officer</i></li> </ul>	<p>Meeting</p>	<p>Feedback on the MSRB’s FY 2019 strategic initiatives, including retrospective rule review and Board oversight of financial management, including reserve target</p>
<p><b>Meeting with Regulated Entities</b></p> <p>February 21, 2019</p> <p>St. Louis, MO</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> <li>• Dan Kiley</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• John Bagley, <i>Chief Market Structure Officer</i></li> </ul>	<p>Meeting</p>	<p>Feedback on the MSRB’s FY 2019 strategic initiatives, including retrospective rule review and Board oversight of financial management, including reserve target</p>
<p><b>Midwest Compliance Roundtable in Conjunction with St. Louis Bond Club</b></p> <p>February 21, 2019 4:00 pm – 6:30 pm</p> <p>Commerce Bank 8000 Forsyth Boulevard 10th Floor Shaw &amp; Carondelet Room St. Louis, MO</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> <li>• Dan Kiley</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• Gail Marshall, <i>Chief Compliance Officer</i></li> <li>• Ritta McLaughlin, <i>Chief Education Officer</i></li> <li>• John Bagley, <i>Chief Market Structure Officer</i></li> </ul>	<p>Town Hall</p>	<p>Attendees will discuss:</p> <ul style="list-style-type: none"> <li>• “Pain points” in the market</li> <li>• Areas of concern about the market</li> <li>• Issues in day-to-day business operations</li> <li>• Complying with MSRB rules</li> <li>• Gaps in municipal market regulation</li> <li>• Market inefficiencies</li> <li>• Additional MSRB resources to help facilitate positive change in the market</li> </ul>

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<p><b>Town Hall In conjunction with the NABL Institute</b></p> <p>March 8, 2019 7:30 am – 9:00 am</p> <p>Hyatt Regency Coconut Point Bonita Springs, FL</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Jerry Ford</li> <li>• Donna Simonetti</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• Ritta McLaughlin, <i>Chief Education Officer</i></li> </ul>	<p>Town Hall</p>	<p>Attendees will discuss:</p> <ul style="list-style-type: none"> <li>• “Pain points” in the market</li> <li>• Areas of concern about the market</li> <li>• Issues in day-to-day business operations</li> <li>• Complying with MSRB rules</li> <li>• Gaps in municipal market regulation</li> <li>• Market inefficiencies</li> <li>• Additional MSRB resources to help facilitate positive change in the market</li> </ul>
<p><b>Southeast Compliance Roundtable</b></p> <p>March 22, 2019 10:30 am – 1:30 pm</p> <p>Raymond James Two Buckhead Plaza 3050 Peachtree Road Suite 600 Atlanta, GA</p>	<p><b>Board Members</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> <li>• Jerry Ford</li> <li>• Kemp Lewis</li> <li>• Donna Simonetti</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• Gail Marshall, <i>Chief Compliance Officer</i></li> <li>• Ritta McLaughlin, <i>Chief Education Office</i></li> </ul>	<p>Roundtable</p>	<p>Attendees will discuss:</p> <ul style="list-style-type: none"> <li>• “Pain points” in the market</li> <li>• Areas of concern about the market</li> <li>• Issues in day-to-day business operations</li> <li>• Complying with MSRB rules</li> <li>• Gaps in municipal market regulation</li> <li>• Market inefficiencies</li> <li>• Additional MSRB resources to help facilitate positive change in the market</li> </ul>
<p><b>GFOA Debt Committee Meeting/ GFOA Annual Conference</b></p> <p>May 18, 2019</p> <p>Los Angeles Convention Center 1201 South Figueroa Street Los Angeles, CA</p>	<p><b>Board Member</b></p> <ul style="list-style-type: none"> <li>• Gary Hall (Chair)</li> </ul> <p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Lynnette Kelly, <i>President and Chief Executive Officer</i></li> <li>• Mark Kim, <i>Deputy Executive Director and Chief Operating Officer</i></li> </ul>	<p>Meeting</p>	<p>Attendees will discuss:</p> <ul style="list-style-type: none"> <li>• Issuer interactions with underwriters and municipal advisors</li> <li>• “Pain points” in the market</li> <li>• Ways MSRB can encourage additional use and adoption of its EMMA® website</li> <li>• Additional MSRB resources to help facilitate positive change in the market</li> </ul>