

SEC – FINRA – MSRB Joint Outreach Program

November 20 and 21, 2024

Preliminary Schedule*

The first day of the Program will begin at approximately 9:00 am Mountain Standard Time on November 20, 2024, with a one-hour continental breakfast followed by optional breakout panels for municipal advisors and broker dealers until noon. The day is expected to conclude at approximately 5:00 pm (MT).

The second day of the Program will begin at 8:00 am Mountain Standard Time and will conclude at approximately 12:35 pm (MT) on November 21, 2024.

Preliminary Panel Topics*

- Municipal Advisor Disclosure Obligations (Including Antifraud & Contractual Obligations)
- Duties of Co-Managers
- Off-Channel Communications (Including Record Retention & WSPs)
- Net Capital Requirements
- Avoiding Acting as a Municipal Advisor
- Municipal Advisor Rule Frequently Asked Questions (for Municipal Market Participants)
- Exam & Enforcement Priorities & Regulatory Outlook
- Federal Fiduciary Duty & Post-trade Monitoring
- 529 & Able Discussion
- Compliance Pain Points (Municipal Advisors and Broker-Dealers)
- Hot Topics in the Municipal Market

* Please note that all panel topics and schedule times are subject to change before the Joint Outreach Program agenda is finalized.