

# BDA Bond Dealers of America

***Legal & Compliance Roundtable***  
***The Ritz Carlton Hotel – Champlain Room***  
***October 9, 2013***  
***2:00 pm – 5:00 pm***

**Agenda Topics:**

- Best Execution in the Municipal Market
- Pre and Post-trade Disclosure Obligations
- FINRA Front Running Rule
- Branch Office Inspections / Exams
- Enforcement Developments Regarding Markups and Unfair Pricing Violations
- G-17 Due Diligence Requirements
- SEC Rule 15c3-5 Compliance Concerns
- Legal Entity Identifiers
- TMPG MSFTA Margining
- Status of SEC / IRS Enforcement Regarding Issue Price of Securities
- Institutional Suitability: FINRA 2111
- SEC Final Rule on Muni Advisor

**6:30 pm**

**Dinner at Joe's Seafood, Prime Steak & Stone Crab**  
60 East Grand Ave, Chicago, IL

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