

**Compliance Update with MSRB and FINRA
2018 NAMA Annual Conference
Friday, October 5: 8:30 – 9:20**

I. Introductions

David Holleran

II. MSRB

Gail Marshall

- Upcoming Series 54 Exam
- MSRB Rule G-40 Advertising FAQs and Guidance
- Intent and Purpose of MSRB Compliance Advisories
- FY19 Workplan and Compliance Resources: Call for Ideas

III. FINRA

Bonnie Bowes

- FINRA Coordination with SEC-OCIE and MSRB
- FINRA and MSRB Rule G-42
- FINRA Guidance That Can Be Illustrative for all MAs

Resources

MSRB Compliance Resources, <http://msrb.org/Regulated-Entities/Resources.aspx>

FINRA: Firms' Supervision Responsibilities For Trade Reporting And Market-Making Activities, <http://www.finra.org/sites/default/files/NoticeDocument/p004915.pdf>

FINRA: Guidance on Supervisory Responsibilities, <http://www.finra.org/sites/default/files/NoticeDocument/p004311.pdf>