Date: 11/11/16

Conference Call

MARKET CONDUCT EXAMINATION STANDARDS (D) WORKING GROUP
Wednesday, November 30, 2016
3:00 p.m. ET/2:00 p.m. CT/1:00 p.m. MT/12:00 p.m. PT

ROLL CALL

Bruce R. Ramge, Chair
Jim Mealer, Vice Chair
Damion Hughes
Kurt Swan
Lee Backus/Sharon Shipp
Mark Ossi/Debra Peirce
Doug Ommen
Russ Hamblen
John Turchi
Paul Hanson
Peggy Willard-Ross
Win Pugsley
Nebraska
Missouri
Colorado
Connecticut
District of Columbia
Georgia
Iowa
Kentucky
Massachusetts
Minnesota
Nevada
New Hampshire
Cliff Day
Robert McLaughlin
Tracy Biehn
Angela Dingus
Joel Sander
Constance Arnold
Christina Rouleau
Julie Fairbanks
Jeanette Plitt
Mark Hooker
Cari Lee/Marcia Zimmer
New Jersey
New York
North Carolina
Ohio
Oklahoma
Pennsylvania
Vermont
Virginia
Washington
West Virginia
Wisconsin

AGENDA

1. Consider Adoption of its Nov. 2 Minutes—Director Bruce R. Ramge (NE)
2. Consider Adoption of the Report of the Standardized Data Request (D) Subgroup—Russ Hamblen (KY)
3. Consider for Adoption Proposed Market Regulation Handbook Revisions Received from the Market Information Systems Research and Development (D) Working Group—Mark Hooker (WV)
   • Center for Economic Justice (CEJ) Nov. 21, 2016 Comments
4. Discuss a Proposal for Process Review Methodology—Don Koch (NorthStarExams LLC)
5. Review and Discuss Proposed New Content re: Closing Continuum Actions, Nov. 28 Draft, for inclusion in the Market Regulation Handbook—Director Bruce R. Ramge (NE)
6. Discuss Any Other Matters Brought Before the Working Group—Director Bruce R. Ramge (NE)
7. Adjournment