

Date: 3/1/17

Conference Call

MARKET CONDUCT EXAMINATION STANDARDS (D) WORKING GROUP

Friday, March 3, 2017

12:30 p.m. ET/11:30 a.m. CT/10:30 a.m. MT/9:30 a.m. PT

ROLL CALL

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

AGENDA

1. Review 2017 Working Group Tasks—*Director Bruce R. Ramge (NE)*
2. Review and Discuss Proposed New Content Re: Closing Continuum Actions, March 1, 2017 Draft, for Inclusion in the *Market Regulation Handbook*—*Director Bruce R. Ramge (NE)* Attachment 1
 - California Dec. 29, 2016, Comments
3. Discuss Proposed *Market Regulation Handbook* Substantive Revisions Received from the Market Information Systems Research and Development (D) Working Group Attachment 2
—*Director Bruce R. Ramge (NE)*
4. Discuss Any Other Matters Brought Before the Working Group—*Director Bruce R. Ramge (NE)*
5. Adjournment

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