Date: 3/20/17

Conference Call

MARKET CONDUCT EXAMINATION STANDARDS (D) WORKING GROUP
Thursday, March 23, 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
Russell Hamblen            Kentucky       Julie Fairbanks       Virginia
Rich Bradley               Massachusetts    Jeanette Plitt       Washington
Paul Hanson                Minnesota      Mark Hooker       West Virginia
Peggy Willard-Ross         Nevada         Cari Lee       Wisconsin
Win Pugsley                New Hampshire

AGENDA

1. Consider Adoption of its March 3 Minutes—Director Bruce R. Ramge (NE)  Attachment 1

2. Discuss Proposed Market Regulation Handbook Substantive Revisions Received from the Market Information Systems Research and Development (D) Working Group—Director Bruce R. Ramge (NE)  Attachment 2
   • West Virginia – March 16 Comments
   • Center for Economic Justice – March 12 Comments

3. Review and Discuss Proposed New Content Re: Closing Continuum Actions, March 1 Draft, for Inclusion in the Market Regulation Handbook—Director Bruce R. Ramge (NE)  Attachment 3
   • Iowa – March 16 Comments
   • Old Republic Title – March 3 Comments


5. Discuss Any Other Matters Brought Before the Working Group—Director Bruce R. Ramge (NE)

6. Adjournment

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