

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

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