

**CALL FOR PAPERS**  
**FIFTH ANNUAL CONFERENCE ON FINANCIAL MARKET REGULATION**

**May 10-11, 2018, Washington DC**

The conference will take place in the afternoon of Thursday, May 10 and all day on Friday, May 11, 2018, at the Securities and Exchange Commission, Washington DC.

**Paper Submission Deadline:** November 10, 2017

The SEC's Division of Economic and Risk Analysis (DERA), Lehigh University's Center for Financial Services Studies, the University of Maryland's Center for Financial Policy, and CFA Institute will jointly host the Fifth Annual Conference on Financial Market Regulation. The goal of the conference is to bring together participants from academia and the SEC for an exchange of views on topics of relevance to the Commission.

**TOPICS:** Two papers will be selected in each of four broad topic areas: corporate finance, market microstructure, financial intermediation, and asset management. Possible topics include, but are not limited to:

- Registrant disclosure and its impact on markets and market participants including retail investors
- Impact of broker-dealer standard of care on the market for financial advice and market participants, including retail investors
- Market microstructure: competition in securities trading, market fragmentation, transparency in OTC markets
- Fixed income market resilience and stability
- Raising capital through public and private securities offerings
- Index investment and the impact on markets
- The Dodd-Frank Act and the JOBS Act and their impact on markets and market participants
- The impact of FinTech and RegTech on financial markets and market participants
- Disclosure and financial literacy, household and retail finance
- Financial instrument innovation and the impact on markets and market participants

**PAPER SUBMISSION PROCEDURE:** The selection committee will focus on high quality paper submissions whose topics directly relate to the mission of the SEC.

The deadline for paper submissions is November 10, 2017 with a submission fee of \$40. Papers can be submitted through SSRN (<https://hq.ssrn.com/conference=5th-Fin-Market-Reg>). Authors of accepted papers will be notified by the beginning of March. Travel reimbursement will be offered to presenters of accepted papers.

**CONFERENCE ORGANIZERS:** Kathleen Weiss Hanley (Lehigh University), Christof Stahel (SEC), Russ Wermers (University of Maryland) and Jim Allen (CFA Institute).