

Municipal Advisors Statutory Fiduciary Duty Panel

Event

November 12, 2024 | 1 minute read

Ed Fierro will speak at a compliance outreach program for municipal market professionals co-hosted by the SEC, Municipal Securities Rulemaking Board (MSRB), and Financial Industry Regulatory Authority (FINRA). The program will provide municipal market participants an opportunity to hear from SEC, MSRB, and FINRA staff on timely regulatory and compliance matters for municipal advisors and dealers. Panel topics will include compliance pain points for municipal advisors and broker-dealers, exam and enforcement priorities, a regulatory outlook, net capital requirements, federal fiduciary duty, post-trade monitoring, and other municipal market hot topics.

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