
SEC, FINRA and the MSRB to Hold Compliance Outreach Program for Municipal Advisors.

Alexandria, VA —The Securities and Exchange Commission, Financial Industry Regulatory Authority (FINRA) and the Municipal Securities Rulemaking Board (MSRB) today announced the opening of registration for the first Compliance Outreach Program for Municipal Advisors that will take place in Chicago, IL on November 3, 2014.

The SEC's Office of Compliance Inspections and Examinations, in coordination with the SEC's Office of Municipal Securities, is partnering with FINRA and the MSRB to sponsor the program. Similar to the compliance outreach programs for broker-dealers and investment advisers, the municipal advisor program will provide municipal advisor professionals a forum for discussions with regulators about risk management, regulatory issues and compliance practices.

"The municipal advisor program will be a good opportunity for new municipal registrants to better understand regulatory expectations," said Kevin Goodman, National Associate Director of the SEC's broker-dealer and municipal advisor examination programs. "The program will allow registered municipal advisors to interact with all three regulators, which is an important aspect of our overall outreach efforts."

Mike Rufino, FINRA's Head of Member Regulation-Sales Practice said, "This program will provide municipal advisor compliance professionals across the country with the opportunity to interact with FINRA, the MSRB and the SEC staff. Compliance Outreach Programs also provide us with an opportunity to hear from municipal advisor firms regarding their day-to-day compliance initiatives."

Lynnette Kelly, Executive Director of the MSRB, said the outreach program will help reinforce the importance of complying with rules being developed for the municipal advisor community. "We are pleased to participate in this event and help educate advisors on their responsibilities."

There is no cost to attend the program. Registration is open to all municipal professionals with limited seating available and preference given to employees of registered municipal advisors on a first-come, first-served basis. Please visit the registration page for more information about attending.

This event will be webcast. Information regarding accessing the webcast will be posted on the SEC website, at sec.gov, on the day of the event. For additional information visit the SEC, FINRA or the MSRB website.

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