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Investors: Know Your Broker's Best-Execution Requirements.

Overview

Bond dealers, typically referred to as brokers, that execute municipal bond transactions on behalf of investors have specific obligations to their customers that include providing relevant information, making suitable recommendations, offering a fair price and providing their customers with best execution on their transactions. A broker's best-execution obligations are paramount to ensure investor protection. This document provides an overview of what investors can expect of their brokers as part of a broker's compliance with its best-execution obligation to customers.

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