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The Bond Buyer Web Seminar: Muni Compliance Update

Muni Compliance Update: Top lessons for compliance and business leaders

November 9, 2016 | 2 pm ET/11 am PT

Join muni industry veterans Gregg Bienstock from Lumesis Inc. and Kim McManus from Alternative Regulatory Solutions for a discussion on Muni Compliance aimed at both compliance and business professionals. Topics will includea 15c2-12 and MCDC recap that reviews best practices emerging across the industry and what seems to be coming next from the SEC and FINRA for both Underwriters and Issuers. They will also dive into the Municipal Advisor Rule and how to solve for G-42 requirements, the latest on Best Execution and also the link between best practices in Underwriting and Time-of-Trade compliance.

Register Now

Featured Presenters:

Gregg Bienstock
CEO and Co-Founder
Lumesis, Inc.

Kim McManus
President
Alternative Regulatory Solutions

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