

Bond Case Briefs

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MSRB Announces Members of Compliance Advisory Group.

Washington, DC – The Municipal Securities Rulemaking Board (MSRB) today announced the members of its Compliance Advisory Group, which will provide expertise and input to the MSRB Board of Directors to help inform the organization’s long-term strategic goal to facilitate industry understanding of and compliance with MSRB rules.

“With the foundational rules for municipal advisors now in place and a landmark new investor protection rule taking effect next year, the MSRB is increasing our commitment to assisting regulated entities with understanding their rules of conduct and developing effective compliance procedures,” said Board Chair Lucy Hooper.

“We are bringing together a well-respected group of compliance-oriented senior executives from diverse regulated firms whose insights will help us prioritize the areas where the industry may benefit from further guidance or tools that support compliance.”

Members of the Compliance Advisory Group are:

- Steven Apfelbacher, President, Ehlers & Associates
- Curt de Crinis, Managing Director, C.M. de Crinis & Co., Inc.
- Robert Fippinger, Retired
- Joey Frebes, Senior Vice President, KeyBanc Capital Markets
- Jennifer Hash, Compliance Manager, Zions Bank Capital Markets/Zions Public Finance, Inc.
- Steve Heaney, Director of Public Finance, Stifel, Nicolaus & Company, Inc.
- Ben Juergens, Executive Director in the Legal and Compliance Division, Morgan Stanley
- Leo Karwejna, Managing Director & Chief Compliance Officer, PFM
- Tionna Pooler, President, Independent Public Advisors, LLC

The Compliance Advisory Group will meet periodically throughout Fiscal Year 2018 to discuss potential regulatory topics that may warrant additional compliance assistance, such as enhanced outreach and engagement, new guidance and resources, and improved digital communications for regulated entities.

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Contact: Jennifer A. Galloway, Chief Communications Officer
202-838-1500
jgalloway@msrb.org