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SIFMA: Draft FAQs Regarding Rule G-42 and the Making of Recommendations.

SUMMARY

The MSRB recently announced it is seeking public comment on its on a draft compliance resource about core requirements for municipal advisors related to providing advice on, and making recommendations of, municipal securities transactions or municipal financial products. MSRB Rule G-42, on the duties of non-solicitor municipal advisors, forms the foundation of a comprehensive regulatory framework for municipal advisors developed as a result of the Dodd-Frank Wall Street Reform and Consumer Protection Act. The MSRB's draft compliance resource is intended to enhance municipal advisors' understanding and application of Rule G-42.

Read the SIFMA's Comments to the Draft FAQs.

See also: Request for Input on Draft Frequently Asked Questions Regarding Rule G-42 and the Making of Recommendations.

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