

## FINRA Fines RBC Over \$280,000 for Violating Muni Rule.

RBC Capital Markets, LLC agreed to pay more than \$280,500 to settle Financial Industry Regulatory Authority charges that it violated the Municipal Securities Rulemaking Board's suitability rules when it failed to establish, maintain, and enforce a supervisory system with respect to high-yield municipal bonds.

In a December 14 [Letter of Acceptance, Waiver and Consent](#) (AWC), RBC agreed to pay a total fine of \$550,000, plus restitution and interest of over \$450,000 and to be subject to a censure.

In so doing, RBC neither admitted nor denied FINRA's findings that it violated NASD Rule 3010(a) and 3010(b) and FINRA Rules 3110(a) and (b) and 2010 with respect to the firm's supervision of high-yield corporate bonds, and MSRB Rules G-27(b) and (c) with respect to high-yield municipal bonds.

Specifically, FINRA found that for a period of three years, from July 2013 to June 2016, RBC, which has been a FINRA regulated broker-dealer since 1993, failed to identify for review, more than 100 customer accounts that had conservative profiles for potentially unsuitable concentration levels of high-yield bonds, i.e., those with a higher risk of default.

Under MSRB Rule G-27(b), municipal dealers are required to establish and maintain a supervisory system, which includes written supervisory procedures that reasonably ensure compliance with applicable securities laws.

FINRA Rules 2111 and 3110(a) have similar requirements for supervision, diligence and suitability. For example, under FINRA Rule 2111, member firms must have a "reasonable basis to believe that a recommended securities transaction or investment strategies is suitable for a customer based on information obtained through reasonable diligence of the firm."

In this case, FINRA found that RBC's supervisory system did not flag recommendations that resulted in potentially unsuitable concentrations of high-yield bonds in certain customer accounts. FINRA also concluded the firm's procedures did not sufficiently address suitability factors that its representatives should consider before recommending high-yield bonds.

For example, FINRA said that for a number of years, RBC's procedures did not provide guidance as to what proportion of a customer's portfolio should be invested in those high-risk products.

Additionally, FINRA found that RBC had daily and monthly recommended automated alerts designed to identify potentially unsuitable concentrations of high-yield bonds. However, FINRA concluded the alerts did not function as intended because RBC changed the tax coding of municipal bonds in its system in 2013.

The change "inadvertently disabled the ability of the high-yield bond alerts to identify concentration issues for further assessment," FINRA said.

Additionally, FINRA concluded that RBC did not test its alerts and so was not aware the system wasn't functioning properly. According to the AWC, the firm realized the problem in 2015, but did not fix the system until 2016 and failed to adopt alternate measures to identify potentially unsuitable concentrations in customer accounts in the meantime.

As a result, FINRA found that RBC "did not review more than 100 conservative customer accounts for potentially unsuitable concentrations of high-yield corporate and municipal bonds." Some of those accounts contained high-yield bond concentrations more than six times higher than the thresholds set by the firm.

Consequently, FINRA charged RBC with failing to establish, maintain and enforce a supervisory system reasonably designed to achieve compliance with the relevant MSRB rules and imposed a censure, fine, and restitution and interest as sanctions.

Regarding the AWC, Nicole Garrison, director of corporate content, communications and social media for RBC Wealth Management-U.S., said, "we are deeply committed to careful management of the wealth clients entrust to us. As a firm, we pride ourselves on having strong policies and procedures in place to protect our clients. In the rare instance those policies and procedures fall short, we take steps to address them."

Garrison added, "We fully cooperated with FINRA and are pleased to have amicably resolved this case. This matter involves restitution to just 20 accounts and an issue that occurred and was fixed more than five years ago."

By Kelley R. Taylor

BY SOURCEMEDIA | MUNICIPAL | 12/16/21 01:59 PM EST

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## **Public Finance Associate - St. Louis, MO**

Gilmore & Bell, P.C., one of the leading public finance law firms in the United States, is seeking an attorney to join our St. Louis office. Our offices are located downtown close to the Gateway Arch National Park, the St. Louis Cardinals' Busch Stadium, Ballpark Village, Stifel Theatre and the new St. Louis Aquarium at Union Station. We offer a friendly and collaborative office environment, parking, and excellent benefits.

### **Responsibilities:**

- Represent states, counties, and other governmental and quasi-governmental entities or 501c3 organizations as bond counsel in bond and lease financings, economic development incentives and public-private partnerships.
- Act as underwriter's counsel and bank counsel in public finance transactions.

### **Requirements:**

- J.D. with excellent academic credentials
- Interest in transactional legal work
- Superior verbal and written communication skills
- High attention to detail and accuracy and commitment to excellence
- Independent, action-oriented thinker who can successfully undertake and complete projects and

- major tasks with a minimum of supervision
- Ability to build and maintain strong client relationships
- Hardworking and a team player
- Able to fully embrace our firm culture of “Smarter, Faster, Nicer”

**Preferred But Not Required:**

- Prior work experience in public finance or tax
- General knowledge of municipal finance and bond terminology

To apply for this opportunity and start your career with our firm, please send a resume, transcript, and cover letter to [jhain@gilmorebell.com](mailto:jhain@gilmorebell.com)

EOE/M/F/D/V

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## **Public Finance Associate - Salt Lake City, UT**

Gilmore & Bell, P.C., one of the leading public finance law firms in the United States, is seeking an associate attorney to join our Salt Lake City office. Our offices are located downtown close to restaurants, TRAX stops, and shopping. We offer a friendly, relaxed, and collaborative office environment and excellent benefits. All of our employees are equipped to work remotely during the ongoing pandemic and we do not require that employees work in the office at this time.

**Responsibilities:**

- Represent states, counties, housing authorities, and other governmental and quasi-governmental entities or 501c3 organizations as bond counsel in bond and lease financings, economic development incentives, public-private partnerships and other project financings.
- Act as underwriter’s counsel and bank counsel in public finance transactions.

**Requirements:**

- J.D. with excellent academic credentials
- 0-4 years work experience, public finance/bond counsel experience not required
- Interest in transactional legal work
- Superior oral and written communication skills
- High attention to detail and accuracy and commitment to excellence
- Independent, action-oriented thinker who can successfully undertake and complete projects and major tasks with a minimum of supervision
- Ability to build and maintain strong client relationships
- Hardworking and a team player
- Able to fully embrace our firm culture of “Smarter, Faster, Nicer”

**Preferred But Not Required:**

- Prior work experience in public finance, securities, real estate or tax
- General knowledge of municipal finance and bond terminology

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## **Public Finance Associate - Kansas City**

Gilmore & Bell, P.C., one of the leading public finance law firms in the United States, is seeking an associate attorney for full-time or flexible hours to join our Kansas City office. Our offices are located in the Crown Center area close to restaurants, the street car, and shopping. We offer a friendly, relaxed and collaborative office environment and excellent benefits.

### **Responsibilities:**

- Represent states, counties, and other governmental and quasi-governmental entities or 501c3 organizations as bond counsel in bond and lease financings, economic development incentives and public-private partnerships.
- Act as underwriter's counsel and bank counsel in public finance transactions.

### **Requirements:**

- J.D. with excellent academic credentials
- 1-4 years work experience, public finance/bond counsel experience not required
- Interest in transactional legal work
- Superior oral and written communication skills
- High attention to detail and accuracy and commitment to excellence
- Independent, action-oriented thinker who can successfully undertake and complete projects and major tasks with a minimum of supervision
- Ability to build and maintain strong client relationships
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## **Public Finance Investment Banking Analyst.**

### **Piper Sandler | Chicago, IL**

Piper Sandler is currently seeking a Public Finance Investment Banking Analyst to join our Chicago office.

Analysts provide analytical and quantitative support and assist senior bankers to provide investment banking service to clients in both the public and not-for-profit sectors. At Piper Sandler, analysts are

an integral part of the financing team and assume a high level of responsibilities and actively participate in all aspects of the transactions.

### **Responsibilities**

- Developing complex financial models to structure and optimize transactions
- Preparing analyses on client capital structure, debt capacity and credit profile
- Drafting responses to request for proposals by clients
- Preparing presentations for financing proposals and new business development
- Interacting with internal and external financing team members in developing, executing and closing of the transaction

### **Requirements**

- B.S. or B.A. with major(s) in business, economics, engineering or related fields is preferred
- Successful candidates will be highly self-motivated and willing to work long hours as necessary
- Excellent analytical and quantitative skills are a must and good understanding of financial markets is expected
- Well organized, attention to detail and able to manage multiple projects
- Advanced user of Excel, PowerPoint and Word is beneficial
- Strong communication and professional presence with clients required

[Click here](#) to apply.

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## **Public Finance Attorney - St. Louis, MO**

Gilmore & Bell, P.C., one of the leading public finance law firms in the United States, is seeking an attorney to join our St. Louis office. Our offices are located downtown close to the Gateway Arch National Park, the St. Louis Cardinals' Busch Stadium, Ballpark Village, Stifel Theatre and the new St. Louis Aquarium at Union Station. We offer a friendly and collaborative office environment, parking, and excellent benefits.

### **Responsibilities:**

- Represent states, counties, and other governmental and quasi-governmental entities or 501c3 organizations as bond counsel in bond and lease financings, economic development incentives and public-private partnerships.
- Act as underwriter's counsel and bank counsel in public finance transactions.

### **Requirements:**

- J.D. with excellent academic credentials
- Interest in transactional legal work
- Superior verbal and written communication skills
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- Independent, action-oriented thinker who can successfully undertake and complete projects and major tasks with a minimum of supervision
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**Preferred But Not Required:**

- Prior work experience in public finance or tax
- General knowledge of municipal finance and bond terminology

To apply for this opportunity and start your career with our firm, please send a resume, transcript, and cover letter to [jhain@gilmorebell.com](mailto:jhain@gilmorebell.com)

EOE/M/F/D/V

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## **2020 Summer Internship Program - Public Finance Investment Banking**

**Piper Jaffray . | . Denver, CO, US**

[Apply on company website](#)

Piper Jaffray is currently seeking an intern for Summer 2020 for our Public Finance business line in Denver, CO. Public Finance is an exciting area of investment banking, where bankers work with a diverse group of public sector, non-profit and developer clients. We have numerous Public Finance functional specialties in local markets.

### **Responsibilities**

- Creation of Microsoft Excel spreadsheets
- Build information sources
- Assist Public Finance team with projects and assignments

### **Requirements**

- Excellent oral, written communication and problem solving skills
- Strong analytical ability
- Detail oriented
- Knowledge of Microsoft Excel

Interns will participate in our firm-wide internship program consisting of a kickoff event in Minneapolis and a speaker series program where you will hear from top business leaders with the opportunity to network and learn about the various opportunities within finance .

This internship opportunity is open to undergraduate or graduate students who graduate in December 2020 or Spring 2021 and have a GPA of 3.3 or above.

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## **Public Finance, Summer Analyst (North America - 2020)**

**Citi | Los Angeles, CA, US**

**You're the brains behind our work.**

You're ready to bring your knowledge from the classroom to the boardroom, and Citi wants to help

you get there. Whether it's honing your skills or building your network, we know that success can't come without growth. Our programs equip you with the knowledge and training you need to play a valuable role on your team, and establish a long-term career here. At Citi, we value internal mobility, and career growth is not a question of if, but when. Citi's Institutional Clients Group is looking for Summer Analysts to join the Public Finance team in North America. ICG offers investment and corporate banking services, and products for corporations, governments, and institutions around the world. Summer Analysts join an intensive training program that includes both training sessions and real, on-the-job experience. You will have the opportunity to work on multiple projects as if you were a full-time Analyst. This is not a survey or shadow position.

[Apply on company website](#)

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## **Public Finance Partner - Chicago**

Are you a Chicago public finance partner seeking to continue to grow your practice? If so, let's connect to discuss our Am Law 200 law firm client that boasts a marquee public finance practice as well as a rate structure that is conducive to growing your client base. This attractive opportunity also offers you the potential to grow public finance work with existing firm clients in Chicago. This exclusive search is being conducted for our Mid-West headquartered client with a public finance practice comprised of over 40 attorneys nationwide who devote their time to representing the full range of participants in the municipal bond and municipal finance markets. The firm also has the strengths you need in key ancillary areas such as tax and securities to provide the range of support necessary to continue to build a sophisticated bond practice. Management is committed to ensuring the continued growth of its talented public finance team, and you will have the support required at all levels firm-wide, including stellar associate talent. While this firm has a national geographic platform, its culture definitely reflects its Mid-West roots. Members of this collegial group of bond lawyers work collaboratively across offices and are eager to share their expertise amongst their team - whether that be to assist in a transaction or to help market to a potential client. The firm's growing Chicago office possesses top talent in a variety of practice areas including corporate, litigation, intellectual property, real estate, regulatory and environmental. All inquiries will remain confidential.

Thank you for your interest in a position with one of our clients. Your information will be reviewed by a recruiter; however, because of the large volume of inquiries that we receive for our positions, we are not able to respond directly to all applicants. Please note that your resume submission is confidential, and your materials will not be sent to a client without your prior written consent.

Are you a Chicago public finance partner seeking to continue to grow your practice? If so, let's connect to discuss our Am Law 200 law firm client that boasts a marquee public finance practice as well as a rate structure that is conducive to growing your client base. This attractive opportunity also offers you the potential to grow public finance work with existing firm clients in Chicago.

This exclusive search is being conducted for our Mid-West headquartered client with a public finance practice comprised of over 40 attorneys nationwide who devote their time to representing the full range of participants in the municipal bond and municipal finance markets. The firm also has the strengths you need in key ancillary areas such as tax and securities to provide the range of support necessary to continue to build a sophisticated bond practice. Management is committed to ensuring the continued growth of its talented public finance team, and you will have the support required at all levels firm-wide, including stellar associate talent.



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All inquiries will remain confidential.

<http://www.carpenterlegalsearch.com/jobs.asp?id=2274>

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### **[Associate Attorney - Tampa, FL](#)**

Nabors, Giblin & Nickerson, P.A., a leader in public finance law in the State of Florida, is seeking an associate attorney with experience in corporate and/or real estate transactions for its Tampa office. Competitive compensation and benefits package and no billable hours. More information about the firm can be found at [www.ngnlaw.com](http://www.ngnlaw.com). Please direct inquiries in confidence to Chris Traber at [ctraber@ngn-tampa.com](mailto:ctraber@ngn-tampa.com).

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### **EMINENT DOMAIN - FLORIDA**

#### **[Simon v. Deer Meadows Homeowners' Association, Inc.](#)**

**District Court of Appeal of Florida, First District - July 10, 2019 - So.3d - 2019 WL 3022618 - 44 Fla. L. Weekly D1763**

Property owners brought an inverse condemnation action against city, alleging that city committed a taking by directing storm water into a retention pond on their property.

The Circuit Court found that homeowners could not assert a claim for inverse condemnation. Property owners appealed.

The District Court of Appeal held that property owners did not suffer an injury entitling them to compensation for taking.

Any alleged taking by city related to pond created to collect storm water occurred prior to property owners’ acquisition of parcel, and thus property owners were not entitled to compensation on inverse condemnation claim; although city accepted plat and maintenance responsibility for roads and easements which were designed and intended to direct storm water into retention pond on property, owners bought property knowing pond existed, that pond received storm water from neighborhood, and that prior owners had maintained pond themselves.

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Nabors, Giblin & Nickerson, P.A., a leader in public finance law in the State of Florida, is seeking an associate attorney with experience in corporate and/or real estate transactions for its Tampa office. Competitive compensation and benefits package and no billable hours. More information about the



firm can be found at [www.ngnlaw.com](http://www.ngnlaw.com). Please direct inquiries in confidence to Chris Traber at [ctraber@ngn-tampa.com](mailto:ctraber@ngn-tampa.com).

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### **[Port KC Seeking Financial Advisor for Missouri River Terminal.](#)**

The Port Authority of Kansas City, Missouri (Port KC), requests submissions of proposals for financial and commercial advisor to redevelop a portion of Port KC property as an inland intermodal/multi-modal port as a public-private partnership.

[Learn more here.](#)

NCPPP

FEBRUARY 9, 2019

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### **[Public Finance Associate Wanted for International Law Firm \(Orlando, FL\)](#)**

The Orlando office of an international firm with a truly unique culture seeks a Public Finance attorney with 4+ years of experience to join their growing team. Ideal candidates will have experience in municipal finance, tax and securities law, in addition to having worked with governments, underwriters and banks on municipal finance matters. Must have stellar academics, excellent writing capabilities and big firm experience. Florida bar admission required or willingness to sit for Florida Bar. Relocation candidates are encouraged to apply.

For consideration, please submit your resume to [jobs@partners-group.com](mailto:jobs@partners-group.com).

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### **[CIB - Market Risk Coverage - Public Finance - Assoc - NY Job In New York](#)**

**JPMorgan Chase & Co. (NYSE: JPM)** is a leading global financial services firm with assets of \$2.4 trillion and operations worldwide. The Firm is a leader in investment banking, financial services for consumers and small businesses, commercial banking, financial transaction processing, asset management and private equity. A component of the Dow Jones Industrial Average, JPMorgan Chase & Co. serves millions of consumers in the United States and many of the world's most prominent corporate, institutional and government clients under its J.P. Morgan and Chase brands. [www.jpmorganchase.com](http://www.jpmorganchase.com) .

#### **Group Description**

CIB Market Risk Management is an independent risk group, reporting to the firm's Chief Risk Officer (CRO), which identifies, measures, monitors and controls market risk. The group forms the key interface for discussing risk issues with the trading desks but retains independent reporting lines through the Risk management chain.

**CIB Market Risk performs the following primary functions:**

- Independent ongoing identification, monitoring and control of business unit market risk
- Performance of stress testing and qualitative risk assessments
- Analysis of aggregated risks and tail risk exposure
- Facilitation of efficient risk-return decisions
- Regular dialogue with the trading businesses with respect to risk appetite, risk limits and individual large and complex transactions.

## **Job Description**

CIB Risk is seeking a Senior Associate level professional for the CIB Market Risk Public Finance Coverage team, based in New York. The role will be a part of a trading floor based team covering the Public Finance Municipal business which includes Syndicate, Long Term and Short Term Trading desks.

## **Responsibilities include:**

- Act as a key point person for the analysis and integrity of the risk sensitivities that measure the risks taken by the trading desks.
- Liaise with the groups that produce the sensitivities including Risk Reporting, Product Control, and Operations, as necessary.
- Attend meetings with other groups involved with markets to include Research, Finance, and the Trading Desk heads
- Communicate effectively with Senior Management regarding the risk appetite of the Trading Desk Heads
- Escalate concerns when deemed necessary based on independent judgment and/or market scenarios
- Assess the appropriateness of business risk and reward profiles and working with the desk on new large or complex transactions
- Provide in depth analyses for trade approvals, deep dives, and objective assessment on risk appetite
- Understand and lead improvements in VAR and Stress Testing methodologies on the positions taken by the Municipal Trading desks
- Assist in the development of new tools or projects to enhance our risk management capabilities
- Coordinate and prioritize deliverables relating to VaR & Stress enhancements with colleagues in VaR methodology, quantitative research, model review, Risk and technology
- Work with technologists in the business and Risk around strategic and tactical initiatives

A successful candidate will combine strong project management and excellent communication skills, with an understanding of the Municipal markets, risks and technology infrastructure to improve controls, efficiency and consistency across the business.

## **Qualifications:**

### **Skills/Qualifications**

- Market Risk or other risk management experience preferred.
- Knowledge of Municipal products and interest rate markets required. Experience with Credit products a plus.
- Understand Public Finance related headlines and regulatory rules as they are released and ability to synthesize key takeaways for Market Risk.
- Strong project management skills, ability to gain consensus among staff and drive initiatives to completion effectively absolutely critical.
- Ability to multi-task, work well under pressure with commitment to deliver under tight deadlines.

- Ability to work independently, as well as coordinate across a global team.
- Strong analytical & quantitative skills are required.
- Clear oral and written communication in English is required.
- Proficiency in Excel is required. Knowledge of VBA is preferred.
- Experience working with MaRRS, WOPR, Kapital and/or Athena a plus.
- Bachelor's degree required. Advanced degree a plus.

[Apply.](#)

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## **Citi Analyst / Associate - Public Finance**

**New York | Full Time**

**Reference: 18015658**

### **About Citi:**

Citi, the leading global bank, has approximately 200 million customer accounts and does business in more than 160 countries and jurisdictions. Citi provides consumers, corporations, governments and institutions with a broad range of financial products and services, including consumer banking and credit, corporate and investment banking, securities brokerage, transaction services, and wealth management. Our core activities are safeguarding assets, lending money, making payments and accessing the capital markets on behalf of our clients.

Citi's Mission and Value Proposition explains what we do and Citi Leadership Standards explain how we do it. Our mission is to serve as a trusted partner to our clients by responsibly providing financial services that enable growth and economic progress. We strive to earn and maintain our clients' and the public's trust by constantly adhering to the highest ethical standards and making a positive impact on the communities we serve. Our Leadership Standards is a common set of skills and expected behaviors that illustrate how our employees should work every day to be successful and strengthens our ability to execute against our strategic priorities.

Diversity is a key business imperative and a source of strength at Citi. We serve clients from every walk of life, every background and every origin. Our goal is to have our workforce reflect this same diversity at all levels. Citi has made it a priority to foster a culture where the best people want to work, where individuals are promoted based on merit, where we value and demand respect for others and where opportunities to develop are widely available to all.

### **Public Finance Full-time Analyst or Associate**

Citi's Institutional Clients Group (ICG) is looking for full-time, experienced Analysts or Associates to join the Public Finance team immediately in New York City and possibly other locations domestically. ICG offers investment and corporate banking services and products for corporations, governments, and institutions around the world.

### **Responsibilities may include:**

- Learn a client's historical financing trends
- Research past uses of debt or derivatives and provide an overview of client's debt position
- Participate with bankers and clients in meetings and conference calls to review current market conditions and formulate future capital programs

- Apply new financing, optimization, and hedging strategies to financial transactions based on the client's financing needs
- Assist in the execution of transactions.
- Present documentation and pricing to investors and rating agencies
- Credit and internal approvals, policy compliance, client entertainment, and deal closing coordination.
- Research market, credit, tax, regulatory, accounting, legal, policy and issuer-specific issues relating to prior or future transactions

**We want to hear from you if...**

- You have a Bachelor's degree in any major from a distinguished academic institution, with a solid academic performance
- You have 1-3 years of experience in public finance
- You have strong quantitative and analytics skills; quantitative majors a plus
- Your writing skills are superior

**Who we think will be a great fit...**

- We're looking for motivated individuals, who are eager to continue their careers, naturally curious, and interested in business. We value diversity and so do you. We'll also be looking for the following:
- Ability to tackle problems with creative solutions
- Ability to juggle multiple tasks simultaneously
- Confidence and comfort with clients and senior executives
- Excellent oral and written communication skills
- Success working on a team

Depending on relevant experience, we will consider the appropriate title to offer qualified candidates (either Analyst or Associate)

[APPLY](#)

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**Commercial & Public Finance First - Year Associate**

**Thompson Hine LLP**  
**Cleveland, OH**

LLP's Cleveland office seeks an Associate to join its Commercial & Public Finance practice. The ideal candidate will have a strong interest in commercial finance law and 0-1 years of experience. The successful candidate will be involved in complex domestic and international transactional finance matters. Outstanding academic credentials, a strong work ethic, and excellent drafting, client relations and negotiation skills are required.

[Apply here.](#)

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## **Public Finance Associate.**

**Nixon Peabody**  
**New York, NY**

### **Job Description:**

Our Public Finance Practice Group is seeking to hire an associate to join our New York City office.

Our Public Finance Practice Group has a national reputation for innovative work in financing a wide range of municipal and infrastructure projects – from mass transit and hospitals to baseball stadiums, student loans, public power and housing.

At Nixon Peabody, our priority is to attract, retain and promote talented individuals who have an array of racial, ethnic, social, economic, religious, professional, personal, and other backgrounds. Therefore, we encourage talented individuals with diverse backgrounds and experiences to apply.

### **Job Requirements:**

- The ideal candidate will have approximately four to six years of experience representing issuers, underwriters and borrowers on a variety of public finance transactions.
- Qualified candidates will be motivated self-starters with stellar academic credentials, superb judgment and communication skills, and have a commitment to excellence and the ability to thrive in a fast-paced environment.

[Apply.](#)

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## **Public Finance Associate - Boston, MA**

### **Description**

We are looking for an associate with 1-3 years' experience to join our Public Finance group in Boston. Mintz Levin's nationally renowned practice offers challenging work, an entrepreneurial and collegial environment, and a unique opportunity to work with a dynamic practice group. Our associates have the opportunity to work closely with our senior lawyers handling sophisticated matters throughout the country.

### **Responsibilities**

The candidate would support the firm's Public Finance group.

### **Qualifications**

- Ideal candidate will have legislative and/or government agency experience, as well as a background and/or strong interest in finance, mathematics, securities law, state and municipal law, and/or tax law.
- Must possess a strong academic background, as well as strong written and interpersonal skills, solid analytical skills, and the ability to handle multiple projects at one time.
- Must be committed to excellence, teamwork and superior client service

[Apply to this Job](#)

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## **Paralegal - Public Finance**

**Ballard Spahr LLP**  
**Philadelphia, Pennsylvania**

[Apply to Ballard Spahr LLP on their website](#)

### **Job description**

Ballard Spahr LLP is seeking a paralegal in our Philadelphia office to support our nationally-recognized public finance lawyers who represent state and local governments and authorities, nonprofit organizations, investment banks, and banking institutions in virtually every type of municipal bond transaction. The successful candidate will undertake a range of tasks and responsibilities that include: preparation of documentation for closings including, organizing proofreading and assembling documents; conducting due-diligence; drafting bond documents, disclosure documents, closing certificates and opinions; coordinating closing logistics; preparing and filing of UCC Financing Statements; researching industry databases, publicly-available information from local governments and other sources, and applicable law.

This position requires someone who is energetic, detail-oriented, with the ability to manage multiple priorities and understands the cycle of a transaction. Candidates considered will be proactive self-starters with demonstrated experience maintaining high quality work products in a fast-paced environment and within time constraints. Strong writing and proofreading skills, oral communication skills, research, organizational and interpersonal skills are essential to be successful in this position.

Minimum requirements include prior experience as a paralegal in public finance, commercial lending transactions, or corporate law; demonstrated written and oral communication skills, intermediate level of technical proficiency in Microsoft Office applications (including Excel) and document management systems. Must be able to work overtime, as needed.

Ballard Spahr is not accepting resumes from search firms for this position.

Ballard Spahr offers excellent compensation, a comprehensive benefits package, and a generous paid time off program. For immediate consideration, please visit <https://ballardspahr.silkroad.com/epostings/> and apply online.

Ballard Spahr is an equal opportunity employer committed to fostering a culturally diverse environment. The firm encourages applications from a diverse pool of candidates, and all qualified applicants will receive consideration for employment without regard to race, ethnicity, religion, age, national origin, handicap or disability, citizenship, sex, pregnancy, childbirth or related medical condition, sexual orientation, gender identity and expression, transgender status, sex stereotyping, genetic information, ancestry, veteran status or any other category protected by applicable law.

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## **Experienced Public Finance/Bond Attorney**

A growing firm in Center City, Philadelphia is in need of a very experienced attorney to join our

growing Public Finance/Bond Practice. Only those candidates who provide a resume demonstrating considerable knowledge and experience in this specific area of the law will be considered. Thank you for reading our posting and we look forward to hearing from you!

Please send cover letter and resume in confidence to: [jzaffarese@azlawllc.com](mailto:jzaffarese@azlawllc.com)

**Company Name:** Confidential

**Approximate Salary:** Not Specified

**Location:** Philadelphia, Pennsylvania

**Job Type:** Attorney

**Position type:** Full Time

**Industry:** Legal Services

**Practices:** General

**Experience level:** 5-7 Years

**Education level:** Juris Doctor

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## **Commercial and Public Finance Associate - Cleveland OH**

**Location:** Cleveland, Ohio

**Date Posted:** 12/12/2017

**Position:** Attorney

**Practice Area:** Municipal Finance

**Employment Type:** Direct Hire

**Next Steps:** [Apply Now](#)

Are you a mid-level commercial or public finance associate? Are you looking to make a move to a firm with a national reputation for its client service? If so, the following position may be a good fit for you.

Parker + Lynch Legal, Special Counsel's Attorney Search Division, is working with the Cleveland office of a national firm with a reputation for its forward-thinking practice. Our client is a sophisticated full-service business law firm with a nationally-ranked Finance practice group that is looking to add a mid-level associate to work on complex matters. The associate will work closely with a hardworking and influential senior partner.

If you have the following skills and experience, this position may be a great fit for you:

- At least five (5) years of legal experience
- Strong experience with secured transactions
- Admission to the Ohio bar, or ability to gain admission

If you are interested in learning more, please submit your resume and law school transcripts below,



or email your resume in Word .doc format along with your transcripts in confidence to  
Clevelandlegal@parkerlynch.com.

While visiting our Parker + Lynch and Special Counsel websites, please review all available career opportunities.

Equal Opportunity Employer Minorities/Women/Veterans/Disabled

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### **Public Finance Paraprofessional: Grant Thornton - Minneapolis, Minnesota**

Grant Thornton is a collaborative, entrepreneurial firm on the move! As part of a dynamic, global organization of more than 42,000 people serving clients in more than 120 countries, we have the agility and focus it takes to be a leader.

#### **Public Finance Paraprofessional**

We are currently seeking a paraprofessional in our Minneapolis, MN office. This candidate will join our Public Finance team and be responsible for the following:

- Managing the filing system
- Organizing and highlighting documents for engagements
- Making changes/updates to word and excel documents and spreadsheets
- Sending reports and engagement letters to clients
- Setting up new engagements
- Recording time for employees
- Creating invoices
- Releasing databases in our internal CMS system

#### **Qualifications:**

- Must have excellent oral and written communication skills
- Ability to handle multiple priorities and simultaneous projects
- Strong technology skills required, including use of Microsoft Office (Word and Excel)
- Four year degree preferred

[APPLY](#)

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### **Public Finance Associate - St. Louis, MO**

Thompson Coburn is seeking a Public Finance Associate with 1-5 years of experience, preferably in public finance. Candidates with 1-5 years of experience in other areas of finance will also be considered. Candidates must have exceptional academic achievement, excellent analytical and writing skills, strong interpersonal skills, and the ability to function independently and within a team.

[Apply now.](#)

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## **Public Finance Associate - Missoula, MT**

### **Dorsey & Whitney LLP**

### **Missoula, MT**

Dorsey & Whitney LLP is seeking a junior-level Associate attorney to join the Public Finance department in our Missoula office.

#### **Qualified candidates will have:**

- One to three years of transactional experience;
- A JD degree from an ABA-accredited law school;
- Excellent analytical, research and writing skills; and
- Strong academic performance.

Montana bar admission preferred, but not required.

[Apply here.](#)

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## **CA 103 Tax Lawyer.**

California law firm is currently seeking a tax lawyer specializing in Section 103 tax law with a minimum of four years of municipal bond transaction experience to work in our southern California office. This position will advise in financial transactions involving cities, counties, school districts, special districts, and joint powers authorities.

Candidates must have excellent academic credentials, California Bar membership, superior research and writing skills, and a commitment to professional excellence.

Please send a cover letter, resume, transactional writing sample, and law school transcript via e-mail to: [editor@bondcasebriefs.com](mailto:editor@bondcasebriefs.com)

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## **Municipal Capital & Credit Markets Banker - Public Finance at UBS**

### **Description**

**Job Reference #:** 150898BR

**Business Divisions:** Wealth Management Americas

**Your role:** Are you a leader in innovation? Do you know how to come up with best in class solutions for clients? If so, we're looking for someone like you who can:

- create partnerships by increasing depth and breadth of existing client relationships
- increase the returns of products and services generate new ideas and creative approaches that push the business forward

- support an effective sales culture through the prospecting, sales and acquisition processes while regularly assessing sales plan performance against the business's ambition
- motivate and inspire others by providing a vision of shared goals

**Title:** Municipal Capital & Credit Markets Banker, Public Finance

**City:** New York City, New York

**Job Type:** Full Time

**Country / State:** United States

**What we offer:** Together. That's how we do things. We offer people around the world a supportive, challenging and diverse working environment. We value your passion and commitment, and reward your performance.

**Why UBS?** [Video](#)

**Take the next step:** Are you truly collaborative? Succeeding at UBS means respecting, understanding and trusting colleagues and clients. Challenging others and being challenged in return. Being passionate about what you do. Driving yourself forward, always wanting to do things the right way. Does that sound like you? Then you have the right stuff to join us. Apply now.

**Disclaimer / Policy Statements:** UBS is an Equal Opportunity Employer. We respect and seek to empower each individual and support the diverse cultures, perspectives, skills and experiences within our workforce.

**Your team:** You'll be working in the Public Finance team. We are increasing our footprint within the Public Finance space focusing on building our regional and industry capabilities. Wealth Management Americas is strong, profitable with a national reach attractively aligned to support new issuers within the municipal business. This effort is complemented by our stated goal to become the firm of choice for Ultra High Net Worth and High Net Worth clients.

**Your experience and skills:**

**You have:**

- a university degree in business administration, economics, finance or similar
- several years of experience in a similar position or related financial services position
- extensive banking experience in the Public Finance/ Municipal space supporting the Municipal Capital & Credit Markets
- familiarity with cross-border transactions, performing financial and valuation analyses, and utilizing financial services industry databases and tools
- experience providing client support, consultative and negotiation services

**You are:**

- an expert communicator, with experience presenting to clients and senior executives
- able to develop creative solutions to meet client needs by leveraging UBS's uniquely positioned global platform and cross-product opportunities

**About us:** Expert advice. Wealth management. Investment banking. Asset management. Retail banking in Switzerland. And all the support functions. That's what we do. And we do it for private

and institutional clients as well as corporations around the world.

We are about 60,000 employees in all major financial centers, in almost 900 offices and more than 50 countries. Do you want to be one of us?

[APPLY](#)

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## **Research Fellow - Public Finance**

**Job Code:** B27890

**Location:** USA - CA, San Francisco or Sacramento

**Job #:** 201804

**# of openings:** 1

### **Description -**

PPIC research fellows contribute directly to the mission of the Public Policy Institute of California. They are highly trained professionals with strong quantitative and analytical skills and with a driving interest in using those skills to create and communicate knowledge that informs California's policymaking processes.

### **Qualifications**

PPIC aims to recruit a research fellow with a background and strong interest in Public Finance, who is able to demonstrate significant interest in connecting research to policymaking. Ideally, the candidate will bring substantive knowledge and interest in state budgeting, taxes, public pensions, fiscal reforms, and the federal/state/local fiscal relationship in California. The successful candidate also will demonstrate an ability to independently conduct policy research in these public finance areas as well as work with PPIC researchers to apply public finance principles in other policy areas, including K12 and Higher Education Policy, Health and Human Services Policy, and Corrections and Criminal Justice Policy.

Successful candidates for the position will bring excellent skills in quantitative research, qualitative research, writing, external policy engagement, and communications, as well as a Ph.D. in demography, economics, education policy, health policy, political science, public policy, sociology, or a related discipline.

We seek applicants at various stages in their careers, from recent Ph.D. graduates to mid-career and senior level researchers. While a background in California policy research is an advantage, we also seek applicants with federal or other state-level research experience that could be translated to the California context.

PPIC offers a collaborative, intellectually stimulating, impactful work environment with a competitive compensation and benefits package. The position is based in PPIC's San Francisco or Sacramento office.

PPIC values the wide variety of backgrounds and experiences of our research staff. Key elements in the consideration of qualified candidates include excellence; diversity of talents, backgrounds, and viewpoints; and a strong fit with the institute's mission, values, and goals.

## **To Apply**

Please submit your application letter, your C.V., a brief writing sample, and the names and contact information of three references. References will not be contacted without your prior approval. Applications will be considered as they are received and until the position has been filled. Please note in your letter if you plan to attend ASA, APSA, APPAM, or AEA. APPAM attendees should submit their material by October 15th and AEA attendees should do so by November 15th.

As an Equal Opportunity and Affirmative Action employer, PPIC is committed to excellence through diversity. We encourage women and members of minority groups to apply.

AA/EEO/Veterans/Disabled employer.

**To Apply:** [Click here](#)

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## **Public Finance Associate Attorney - Raleigh, NC**

Parker + Lynch Legal is working with an Am-Law 100 firm in Raleigh with an immediate need for a Public Finance Associate. This position will support an attorney who focuses on tax-exempt transactions and serves as bond counsel, borrower's counsel, bank counsel, and underwriter's counsel for a broad range of bonds, as well as traditional government financing transactions. This attorney's practice includes a number of innovative financing techniques, including new market tax credits, synthetic tax increment financings and public-private partnerships.

Qualified candidates must have:

- At least one year of experience focusing on public finance or tax-exempt transactions
- A JD from a Top 50 law school with strong academic credentials
- A license to practice law in at least one US jurisdiction with the ability to become licensed in North Carolina.

[Click here](#) to learn more, and to submit an application.

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## **Associate Attorney - Sunny, Sunny Tampa FL**

Nabors, Giblin & Nickerson, P.A., a leader in public finance law in the State of Florida, is seeking an associate attorney with experience in corporate and/or real estate transactions for its Tampa office. Competitive compensation and benefits package and no billable hours.

More information about the firm can be found at [www.ngnlaw.com](http://www.ngnlaw.com).

Please direct inquiries in confidence to Chris Traber at [ctraber@ngn-tampa.com](mailto:ctraber@ngn-tampa.com).

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## **Senior Municipal Finance Compliance Officer**

## Confidential Employer

Forget the title! This is an Executive level role that is part of an exciting and eagerly awaited industry relaunch of this Fortune 500's municipal finance business. This position is perfect for someone who is currently a number two in their department (or even a number one seeking a definitive move). You must know munis - inside and out as you will be working closely with bankers and sitting with the traders. We are looking for a confident, quick decision maker who can work with business leaders and who knows how to maintain independence and objectivity.

Compensation range is \$175K-\$240K with bonus.

### **Your day-to-day responsibilities include the following:**

- provide advice to the municipal bankers and underwriters on topics such as the municipal advisor rules, due diligence requirements, RFPs, etc.
- participate on capital commitment and other committees
- educate the firm on regulatory developments and new rules relating to municipal securities
- review current business practices against regulatory and firm requirements to ensure that discrepancies are proactively identified and addressed
- draft and update policies and procedures relating to municipal underwriting business
- assist in responding to regulatory exams and inquiries

### **Your team:**

You will be working with the Wealth Management Americas Products and Trading team in Compliance. They are responsible for advising on several products, including taxable and municipal securities, equities, options, futures and structured products. The role will be located near Jersey City with some travel to NYC.

### **Your experience and skills:**

#### **You have:**

- at least 15 years of experience with municipal finance
- at least a bachelor's degree
- JD a plus
- working knowledge of Word and Excel
- Series 7, 63/66, 53 a plus

#### **You are:**

- able to make time sensitive decisions regarding municipal underwriting questions
- capable of completing tasks with very tight deadlines, while also delivering on long term projects
- willing to present regulatory developments to senior management and internal stakeholders
- extremely organized [Apply](#)

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## **[Municipal Finance Compliance Consultant](#)**

### **Job Description:**

Kforce has a client in Weehawken, NJ that is seeking a Municipal Finance Compliance Consultant to assist with Wealth Management Americas Compliance with drafting policies, procedures and training to prepare for a new municipal underwriting business.

**Summary:**

**Team:**

The ideal candidate will be working with the Wealth Management Americas Products and Trading team in Compliance. They are responsible for advising on several products, including taxable and municipal securities, equities, options, futures and structured products. The role will be located in Weehawken and New York City.

**Duties Include:**

Draft and update policies and procedures for the municipal underwriting business relating to topics such as the municipal advisor rules, due diligence requirements, RFPs, and supervision

Create training for newly hired municipal bankers, underwriters and traders

Provide advice to the municipal bankers and underwriters on topics such as the municipal advisor rules, due diligence requirements, RFPs, and supervision

Educate the firm on regulatory developments and rules relating to municipal securities

Review current business practices against regulatory and firm requirements to ensure that discrepancies are proactively identified and addressed

**Job Requirements**

At least a Bachelor's degree

At least 10 years of experience with municipal finance

Experience drafting policies and procedures with municipal underwriting - at least 5 years

Legal or compliance experience with the municipal underwriting business

Enjoys working closely with the business

Knows how to maintain independence and objectivity

Excellent knowledge of Word and Excel

JD a plus

Series 7, 63/66, 53 a plus

Able to draft policies and procedures regarding municipal underwriting

Capable of completing tasks with very tight deadlines

Highly organized

[APPLY NOW](#)



Kforce is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, pregnancy, sexual orientation, gender identity, national origin, age, protected veteran status, or disability status.

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## **Neighborly Issuer Solutions Position.**

### **SAN FRANCISCO / NEW YORK**

Neighborly is a fast-growing, venture-backed public finance startup headquartered in downtown San Francisco, with offices in New York and Kansas City. Positioned in the intersection of technology, finance and government, we develop exceptional technologies to radically modernize public finance, the \$1 billion per-day, 200 year-old market that powers vital public projects like schools, parks, and next-generation infrastructure. Our solutions positively impact the operational efficiency of public finance, how our communities evolve, and how citizens participate in their democracy.

You're an experienced public finance banker, municipal advisor, or issuer seeking new opportunities within the municipal finance industry. We're a team of finance professionals and technologists dedicated to creating innovative solutions and technology for our issuer clients. At Neighborly, we believe in creating efficiency and transparency in the municipal bond market. Our Issuer Solutions Team is dedicated to working with issuers, municipal advisors, bond attorneys, and other industry professionals to develop new technologies to enhance the bond issuance and distribution process. If you believe that municipal bonds are an essential tool in the financing of public goods and want to join our team innovating how fixed-income securities are made, distributed, and managed, we would love to have you join our team.

### **What You'll Do**

- Lead senior and co-managed deal teams in the execution of municipal bond financings.
- Work with Neighborly's Capital Markets on the pricing of bond transactions.
- Drive decision making of the public finance team
- Work closely with Neighborly leadership to shape policy, including membership on the Municipal Underwriting Credit Committee
- Work with leading market professionals ranging from the largest of state municipal bond issuers to small communities who need more efficient access to capital
- Work with team of engineers to develop new tools to make available to issuers, municipal advisors, and other industry participants
- Represent Neighborly at industry events and conferences
- Focus on building technical and market understanding throughout the organization

### **Requirements**

- 5+ years of municipal finance experience at an issuer, as a public finance banker, issuer, or municipal advisor
- Ability to develop and execute a municipal bond financing, including working with deal team to develop terms of issuance, including structure, credit, pricing, and legal framework
- A broad and deep network of public finance industry relationships
- Track record of developing innovative and quantitative bond financing solutions for municipal issuer clients
- Proven management background and leadership capabilities

- Comfortable working with large and sophisticated municipal bond issuers
- Travel required
- Have passed the bar; hold or able to qualify for Series 7, 63, 53
- Experienced enough to know how the municipal industry operates today, ambitious enough to help make it more efficient and transparent in the future

### **Additional Preferred Qualifications**

- Working knowledge of “Green” or “ESG” bond criteria
- Strong quantitative and financial modeling background or experience
- Skills in reviewing, monitoring, and developing internal governing procedures and policies
- Legal background or experience
- Credit background or experience
- Experience in a startup environment or fintech company
- Passionate about the power of open data

Though we maintain exceptionally high standards for talent, Neighborly is an Equal Opportunity Employer. We don't discriminate based on race, color, religion, sex, gender identity or expression, national origin, political affiliation, sexual orientation, marital status, disability, age, parental status, military service, or other non-merit factors. If you have the skills we need and the ambition to grow fast with us, that's all that matters.

[APPLY FOR THIS JOB](#)

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## **Paralegal - Public Finance**

**Briggs and Morgan, P.A. is seeking a full-time Paralegal for our Minneapolis office.**

**Responsibilities include:** preparing drafts of preliminary election and improvement proceedings, drafting of resolutions, documents and certificates in connection with tax-exempt financings; tax increment subsidies, industrial development and hospital bonds and notes; supervision of document organization and coordinating documents for closing and post-closing; attending and assisting at closings and preparing various federal and state filings.

**Qualified candidates will:** have effective oral and written communication skills, demonstrated analytical ability and strong organization skills; ability to solve problems, balance priorities and manage multiple projects and activities. General understanding and knowledge of state and local government financing required. An associate or bachelor's degree, or paralegal certificate or equivalent, and 3+ years related experience required.

### **Contact Details:**

Kim Hansen

Human Resources Manager

[khansen@briggs.com](mailto:khansen@briggs.com)

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**Public Finance Associate.**

Sherman & Howard L.L.C. seeks an associate attorney to join its busy public finance practice in Denver, Colorado. We are active in Colorado, Nevada, New Mexico, Idaho, Montana, Arizona and other Western States and our firm maintains eleven offices in six states.

Our attorneys work as bond counsel, underwriter's counsel, disclosure counsel, lender's counsel and in other roles on a wide range of transactions including governmental bonds of all types, housing bonds and qualified private activity bonds. Our associates take on substantial responsibility for conducting due diligence, attending meetings, preparing bond documents and advising clients.

Our ideal candidate would have one to three years of experience in public finance, however, experience in other transactional practice areas will also be considered, particularly relating to securities. Bar admission to Colorado is preferred but not required. We offer a competitive salary and full benefits.

Please apply to [recruit@shermanhoward.com](mailto:recruit@shermanhoward.com), including a resume, transcript and a cover letter stating your qualifications for this position and why you are interested in public finance work in the Rocky Mountain West.

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### **Public Finance Attorney.**

Kennedy & Graven, Chartered, a law firm in Minneapolis that represents local governments, cities, counties, school districts, townships, port authorities, economic development authorities, housing and redevelopment authorities and other public purpose entities, seeks a public finance associate to practice in the areas of general obligation tax-exempt bonds, conduit tax-exempt bonds for 501(c)(3) entities and affordable housing, and economic development and redevelopment.

Qualifications: 2 year or more years of legal experience and a career interest in local government law and public finance. Experience with transactional legal work is helpful but not required. Experience in commercial loan financing, tax credit financing, real estate or land use, affordable housing or 501(c)(3) organizations is helpful but not required.

To apply: send resume, transcript and cover letter to Neil Simmons, Administrator, Kennedy and Graven, Chartered, at [nsimmons@kennedy-graven.com](mailto:nsimmons@kennedy-graven.com); or mail to 470 U.S. Bank Plaza, 200 South Sixth Street, Minneapolis, MN 55402.

Please apply by September 30, 2016 to ensure consideration.

Questions can be directed to Neil Simmons by email above or 612-337-9200.

Kennedy & Graven, Chartered gives equal consideration to all qualified applicants, regardless of their race, color, creed, religion, national origin, sex, disability, age, marital status, ancestry, sexual orientation, or status with regard to public assistance.

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Our ideal candidate would have one to three years of experience in public finance, however, experience in other transactional practice areas will also be considered, particularly relating to securities. Bar admission to Colorado is preferred but not required. We offer a competitive salary and full benefits.

Please apply to [recruit@shermanhoward.com](mailto:recruit@shermanhoward.com), including a resume, transcript and a cover letter stating your qualifications for this position and why you are interested in public finance work in the Rocky Mountain West.

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ctraber@ngn-tampa.com.

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