

Bond Case Briefs

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Regulatory Requirements and Technology Webinar.

Regulatory Requirements and Technology

Complimentary Web Seminar

June 12, 2014

2 pm ET/11 am PT

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The SEC recently approved a new MSRB rule regarding Time-of-Trade Disclosure to retail and non-SMMP investors and an amended MSRB rule regarding suitability. These rules will be effective July 5, 2014.

While characterized as a “codification,” the new rule’s requirements have caught many by surprise. The introduction of new/amended rules, advances in technology and practices of other market participants should be cause for re-examination of policies, procedures and what is actually being done when you buy or sell a muni bond.

Topics will include:

- Review of New and Amended Rules
- G-47 - Time-of-Trade
- G-19 - Suitability
- Supervision
- Current Practices

Presenters:

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