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Compliance Workshop on MSRB Rule G-44: Small Firm Municipal Advisor Supervision.

May 24, 2018

3:00 PM - 4:00 PM ET

During this free webinar, staff from the MSRB and the Securities and Exchange Commission (SEC) will discuss considerations for small municipal advisors in tailoring supervisory procedures based on the nature and scope of the firm's municipal advisory activities, and methods of documenting that supervisory controls were implemented and enforced consistent with the regulatory obligations under [MSRB Rule G-44](#). SEC staff will highlight some of their observations from municipal advisor examinations.

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