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NABL: SEC, MSRB, FINRA to Hold Virtual Program for Municipal Advisors

The Securities and Exchange Commission (SEC), Municipal Securities Rulemaking Board (MSRB), and Financial Industry Regulatory Authority (FINRA) announced the opening of registration for a virtual Compliance Outreach Program for Municipal Advisors. The webcast program will be held **Thursday, August 13, 2020, from 1 p.m. to 3 p.m. ET**. Additional information, including the agenda, is available [here](#).

The program will provide municipal market participants an opportunity to hear from SEC, MSRB, and FINRA staff on timely regulatory and compliance matters for municipal advisors.

Topics of discussion include, among other things, the duties and standards of conduct for municipal advisors under MSRB Rules G-42 and G-17 and the fiduciary duty under the Securities Exchange Act of 1934; the SEC's temporary conditional exemption from broker registration for certain direct placement activities; operational considerations for registered municipal advisors; and OCIE and FINRA examination processes and common observations, as well as relevant SEC and FINRA enforcement actions.

Registration is free and available [here](#).

Participants are also encouraged to submit questions in advance of the event by emailing MSRBEvents@msrb.org. Continuing professional education credit is available.

A press release with additional information can be found [here](#).