

SEC, FINRA and the MSRB Announce Compliance Outreach Program for Municipal Advisors

The Securities and Exchange Commission (the SEC), the Financial Industry Regulatory Authority (FINRA), and the Municipal Securities Rulemaking Board (the MSRB) announced today the opening of registration for the first Compliance Outreach Program for Municipal Advisors (the Compliance Outreach Program) that will take place in Chicago on November 3, 2014.

The SEC's Office of Compliance Inspections and Examinations, in coordination with the SEC's Office of Municipal Securities, is partnering with FINRA and the MSRB to sponsor the Compliance Outreach Program. The Compliance Outreach Program will provide municipal advisor professionals a forum for discussions with regulators about risk management, regulatory issues and compliance practices. The Compliance Outreach Program will allow municipal advisor professionals to interact with the SEC, FINRA and the MSRB about municipal advisor rules and the expectations of these regulators.

The Compliance Outreach Program will take place on November 3, 2014 from 8:30 a.m. to 4:00 p.m. at the Federal Reserve Bank of Chicago, 230 South LaSalle Street, Chicago, Illinois. There is no charge to attend and registration is open to all municipal professionals with limited seating available and preference given to employees of **registered** municipal advisors on a first-come, first-served basis. The registration page can be found [here](#).

The Compliance Outreach Program will also be webcast. No registration is necessary to view the Compliance Outreach Program via webcast. Information regarding accessing the webcast will be posted on the SEC website on the day of the event.

Further specifics of the Compliance Outreach Program can be found in a detailed [announcement](#) by the SEC.

For additional information or questions concerning the Compliance Outreach Program, feel free to contact any member of our Public and Project Finance Group.



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