

MUNI ADVISOR

Regulation, Implications and More

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UNDERSTANDING MUNI ADVISOR REGULATION

What is a "municipal advisor"?
What is "advice"? Securities



EXCEPTIONS & EXCLUSIONS

The SEC constructed the
municipal advisor rule to cover
nearly anyone providing advice



THE CASE FOR INDEPENDENT ADVICE

The municipal bond market
becomes more complex and

regulations impact the way bond issuers interact with advisors and underwriters and cover nearly every party involved with an issue.

Learn more about the regulations in effect as of July 1, 2014, [here](#).

to municipal entities on municipal bonds and financial products, but some persons and firms are not covered.

Learn more about the exceptions to the municipal advisor rule [here](#).

challenging each day. As a result, an issuer's or borrower's investment in an independent municipal advisor is money well spent.

Why engage an independent municipal advisor? Consider [these reasons](#).

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LEARN ABOUT THE MA
RULE

LEARN ABOUT THE
EXCEPTIONS

THE VALUE OF
INDEPENDENCE

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