



Municipal Advisors

Chapman's broad and extensive experience in municipal finance positions us to assist municipal advisor clients with virtually every legal and regulatory issue.

Using our investment management experience combined with our long history in municipal finance, we can offer unique insight when helping municipal advisor clients navigate the Securities and Exchange Commission (SEC) registration process and requirements, representative licensing, policies and procedures creation and adoption process and new and evolving Municipal Securities Rulemaking Board (MSRB) regulations relating to the conduct, recordkeeping and disclosure requirements for municipal advisors.

Some of the services we provide to municipal advisor clients include:

- Advising clients on SEC registration and licensing issues;
- Drafting and reviewing policies and procedures;
- Drafting engagement letters; and
- Assisting with preparations for regulator examinations, responding to adverse findings and negotiation the terms of resulting actions.

We also work with a variety of clients to analyze their organizations' practices and structures to determine whether they are engaged in activity requiring registration as a municipal advisor.

Attorneys

Scott R. Anderson
Matthew C. Boba
James A. Borrasso, Jr.
James C. Burr
Hillary D. Phelps
Morrison C. Warren
Matthew T. Wirig

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