



**EXPANDING MUNICIPAL SECURITIES  
ENFORCEMENT:  
PROFOUND CHANGES FOR ISSUERS &  
OFFICIALS**

By: Robert Doty

Mr. Doty details the rapid proliferation of SEC complaints against local governments, with specifics of each case -- including recent actions where the Department of Justice has joined the enforcement process, bringing criminal charges against board officials, including a municipal attorney. He also explains the SEC's Municipal Continuing Disclosure Cooperation (MCDC) initiative, which allow municipalities to reduce sanctions based on voluntary disclosure of past violations. His book also includes a comprehensive hypothetical designed for self-study

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