



# An Introduction to Broker-Dealers for State and Local Governments

**SECOND EDITION**

By Sofia Anastopoulos

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Government investors depend on broker-dealers for a number of services. How has technology transformed the broker-dealer industry and the services that broker-dealers offer? How has industry regulation evolved? What does this mean for conducting due diligence on broker-dealers and how the industry is monitored?

Learn answers to these questions and more in the Government Finance Officers Association's (GFOA) *An Introduction to Broker-Dealers for State and Local Governments* (Second Edition).

This book aims to assist government investors in understanding, navigating, and managing their relationships with securities broker-dealers in today's marketplace.

**The book comprises three sections:**

- Introduction to Securities Broker-Dealers
- How to Select a Broker-Dealer
- Monitoring Broker-Dealers

**Take advantage of this edition's useful appendices:**

- **Appendix A:** GFOA Recommended Practice, "Government Relationships with Securities Dealers (1986, 1988, 2003, and 2006)"
- **Appendix B:** Broker-Dealer Request for Information/Questionnaire
- **Appendix C:** Sample Broker-Dealer/Financial Institution Certification

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