**Financing Pre-Qualification**

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# Pre-Qualifying Financing Firms

It is not recommended to pre-qualify financing firms. However, firms could be pre-identified and required to abide by the following code of ethics.

# Code of Ethics for Financing Firms

Any and all providers of financing in these matters, i.e. any form of financing for a State or Local Government, agree, in advance, to the following:

* The finance provider shall be (a) An FDIC Member Bank; or, (b) A FINRA Registered “broker dealer”; or, (c) A currently registered Municipal Advisor , i.e. registered with the MSRB and SEC.
* The submitting firm shall, at all times, accurately and truthfully serve the parties to any transaction in a professional manner, including and not limited to the reasonable requests for confidentiality of the parties; provide accurate and truthful information in and for the transaction to all parties to the transaction; and, fully comply with and respect all federal, state and local laws and policies in and for the proposed transaction.
* Any and all funding proposals or commitments will be the good faith representation of the submitting firm of a transaction(s) that is likely to be consummated under the terms and conditions presented and not willingly mislead any party to the transaction.
* Funds received by the submitting firm shall be accurately and faithfully accounted for at all times and applied as defined in any proposals or commitments issued by the submitting firm
* No funds shall be paid to any party outside the transaction without the express written consent of the parties with this provision including and not limited to referral fees, broker fees or other compensation paid directly or indirectly to any employee, agents or others with direct or indirect association with the parties to any transaction.