

# Jennifer Block

## Senior Attorney

[block.jennifer@dorsey.com](mailto:block.jennifer@dorsey.com)

Des Moines – 515.699.3274



Jennifer guides municipal securities issuers, underwriters, investors and other market participants through complicated municipal disclosure matters to comply with MSRB and SEC regulatory requirements.

Jennifer's public finance practice is focused on municipal disclosure in light of MSRB and SEC regulation and oversight. She counsels municipal clients, conduit borrowers, underwriters, investment banking firms, and other municipal market participants on primary and continuing disclosure matters. Her work includes drafting initial offering documents, conducting due diligence, developing primary and post-issuance disclosure procedures, providing compliance training to help clients navigate SEC and MSRB rules, and preparing bond purchase agreements.

She uses her securities background to help her clients understand municipal disclosure and efficiently bring financings to a close. Her long and varied experience in securities finance allows her to spot potential issues and proactively provide solutions to keep projects on track.

## Select Experience

- Since joining Dorsey, Jennifer has served as disclosure counsel for conduit financings and numerous governmental general obligation and revenue financings, including public school, college dormitory revenue, hospital, and utility financings. Jennifer has served as underwriter's counsel on various financings related to general obligation offerings, utility financings, hospitals, and public school financings.
- Jennifer regularly counsels clients regarding continuing disclosure obligations and bond purchase agreements.
- Prior to joining Dorsey, Jennifer worked for Principal Financial Group for almost 14 years. While there, she supported the mutual funds, exchange-traded funds, and interval fund with matters related to registration of securities, financial reporting, auditor engagement letters, regulator reviews, governance, board meetings, compliance (assessing issues for materiality, preparing board reports, developing

## Education

- Drake University Law School (Juris Doctor, 2000)
  - High Honors
- Wartburg College (Bachelor of Arts, Business Administration (Management), 1995)
  - *summa cum laude*

## Bar Admissions

- Iowa

policies and procedures, and performing risk assessments), and regulatory changes. Her work focused on the Securities Act of 1933, the Investment Company Act of 1940, and SEC rules adopted under both Acts.

- Jennifer has been active in pro bono efforts at Dorsey and has counseled several clients seeking safety outside of Afghanistan.

## Professional Affiliations

- Member, National Association of Bond Lawyers
- Member, Women in Public Finance
- Member, Iowa Bar Association
- Member, Polk County Bar Association
- Member, National Association of Women Lawyers

## Clerkships

- Iowa Supreme Court, Chief Justice Lavarato, 2003–2006
- Iowa Court of Appeals, Judge Huitink, 2002–2003
- Iowa Fifth Judicial District, multiple judges, 2000–2002

## Accolades

- Consistently providing pro bono legal assistance to those in need through Dorsey's Pro Bono program
- Dorsey & Whitney – Scales of Justice Award, 2022

## Select Presentations

- Speaker, *Webinar: Afghans in Iowa: Providing Legal Services with Cultural Competency*, Polk County Bar Association, November 17, 2022

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## Insights

September 20, 2022

### **SEC Charges Underwriters with Violations of Rule 15c2-12**

April 19, 2022

### **SEC Charges School District, the District's Former Chief Financial Officer and the District's Auditor with Violations of Federal Securities Laws in a 2018 Bond Offering**

October 27, 2021

### **SEC Charges School District and the District's Former Chief Financial Officer with Violations of Securities Laws in a 2018 Bond Offering**

May 14, 2020

### **SEC Statement Encourages Municipal Securities Issuers to Provide Expanded COVID-19 Disclosures**

