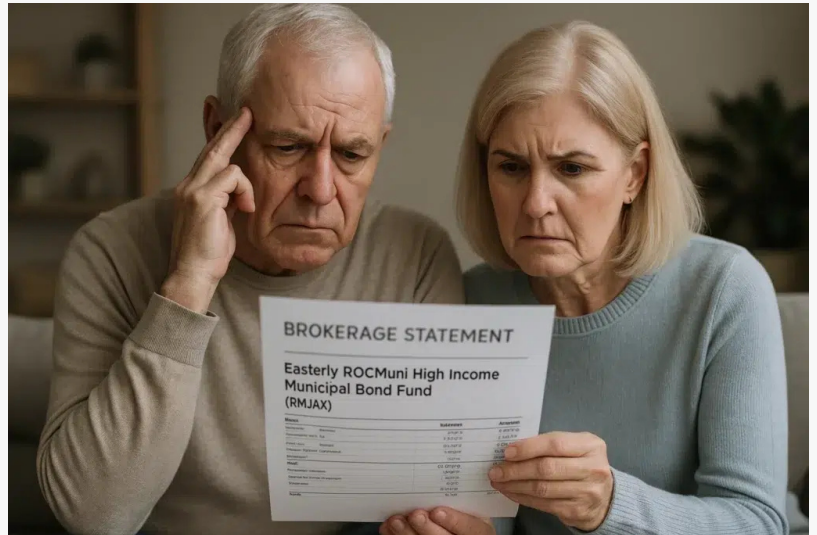


Haselkorn & Thibaut Secures Successful Settlement for Couple in Easterly RocMuni High Income Municipal Bond Fund

InvestmentFraudLawyers.com obtains confidential FINRA arbitration settlement for investors over losses in the Easterly RocMuni High Income Municipal Bond Fund.

JUNO BEACH , FL, UNITED STATES, July 14, 2026 /EINPresswire.com/ -- Haselkorn & Thibaut, P.A., operating as Investment Fraud Lawyers, announced that it has secured a successful settlement on behalf of a couple and their small business in connection with losses arising from an investment in the [Easterly RocMuni High Income Municipal Bond Fund](#).



Easterly ROCMuni

The matter was resolved through the Financial Industry Regulatory Authority ("FINRA") arbitration process in FINRA Case No. 25-01712. The terms of the settlement are confidential.

According to the allegations, the couple and their small business were advised to invest personal and business cash reserves in the municipal bond mutual fund. The investors' stated objective were focused on capital preservation. Instead, they allegedly sustained substantial and unexpected capital losses after the fund was found to have exposure to a significant level of risky assets.

The claim alleged that the investment recommendation was not properly vetted, reviewed, analyzed, or approved by the financial advisor and/or brokerage firm before being recommended to the investors. It further alleged that the risks associated with the fund were not properly disclosed, including risks that the funds being recommended were inconsistent with the investors' desire to preserve capital and avoid material capital losses.

"We are pleased to have obtained a successful resolution for these clients," said Matthew R.

Thibaut, founding partner of Haselkorn & Thibaut, P.A. “Individuals and small businesses may keep cash reserves invested for preservation of principal, operational needs, liquidity, or financial security. A recommendation involving a higher-risk fund requires careful analysis and a clear, balanced explanation of its potential risks, and simply relying on the status of it as a municipal bond fund, or ignoring risky holdings can be negligent.”

Municipal bond mutual funds can be subject to market, interest-rate, credit, liquidity, leverage, concentration, and portfolio-composition risks. Although municipal bonds and bond funds may be viewed by some investors as relatively conservative investments, a fund’s underlying holdings and investment strategy can materially affect its risk profile and potential for loss. Both the firm as well as the individual financial advisor making the recommendations have responsibilities when it comes to such recommendations.

In FINRA Case No. 25-01712, the investors alleged that the fund recommendation did not align with their stated investment objective of capital preservation and exposed both their personal and business accounts and cash reserves to unforeseen and undisclosed material risks. The settlement resolves the matter on confidential terms.

Haselkorn & Thibaut represents investors nationwide in claims involving negligence or impropriety within the financial services industry and that includes (but is not always limited to) alleged unsuitable recommendations, inadequate due diligence, inadequate risk disclosure, broker-dealer supervision failures, and Regulation Best Interest (“Reg BI”) violations. Reg BI requires broker-dealers and financial professionals to act in the best interest of retail customers when making investment recommendations, including by considering the customer’s investment profile and disclosing material risks, costs, and conflicts.

The firm continues to review claims involving municipal bond funds, alternative investments, fixed-income products, and other investments marketed to investors seeking income, preservation of capital, or reduced volatility. Potential concerns may include:

- Recommendations that do not align with an investor’s capital-preservation objectives;
- Failure to properly evaluate the risks in a mutual fund’s underlying portfolio;
- Inadequate disclosure of credit, interest-rate, liquidity, leverage, or concentration risks;
- Recommendations involving personal or business cash reserves without sufficient consideration of liquidity needs;
- Failure by a financial advisor or brokerage firm to conduct adequate due diligence; and
- Inadequate supervision, review, or monitoring of investment recommendations.

“Investors should understand not only the name or category of an investment, but also the actual risks within the portfolio,” Thibaut said. “When a fund is recommended to investors seeking capital preservation, financial professionals must carefully assess whether the product is appropriate and whether the risks have been fully and fairly explained.”

Haselkorn & Thibaut, P.A. offers free and confidential case evaluations for investors and business owners who have experienced losses in municipal bond funds or other investments. Where appropriate, the firm represents clients in FINRA arbitration proceedings. Many cases are handled on a contingency-fee basis, meaning no legal fee is owed unless a recovery is obtained.

About Haselkorn & Thibaut, P.A. / Investment Fraud Lawyers

Haselkorn & Thibaut, P.A., operating as Investment Fraud Lawyers, is a national securities litigation and FINRA arbitration law firm representing individual investors and business owners nationwide. The firm's founding partners, Jason S. Haselkorn and Matthew R. Thibaut, are former Wall Street defense attorneys who now represent investors in matters involving investment fraud, broker misconduct, unsuitable recommendations, private-placement losses, and securities arbitration claims.

The firm has been involved in more than \$520 million in securities cases and reports a 98% success rate. Haselkorn & Thibaut is rated AV Preeminent by Martindale-Hubbell, and both founding partners have been selected as Super Lawyers.

Investors and business owners who have experienced losses in municipal bond funds or other investments may contact Investment Fraud Lawyers for a free consultation at 1-888-885-7162 or through [website at investmentfraudlawyers.com](http://website.at.investmentfraudlawyers.com).

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Investors can learn about Easterly RocMuni High Income Municipal Bond Fund loss recovery or call 1-888-885-7162 for a [free case review](#).

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Legal Notice

This press release is for informational purposes only and does not constitute legal advice. The settlement referenced above in FINRA Case No. 25-01712 was resolved on confidential terms. Past results do not guarantee future outcomes. Each case depends on its specific facts, circumstances, and applicable law.

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