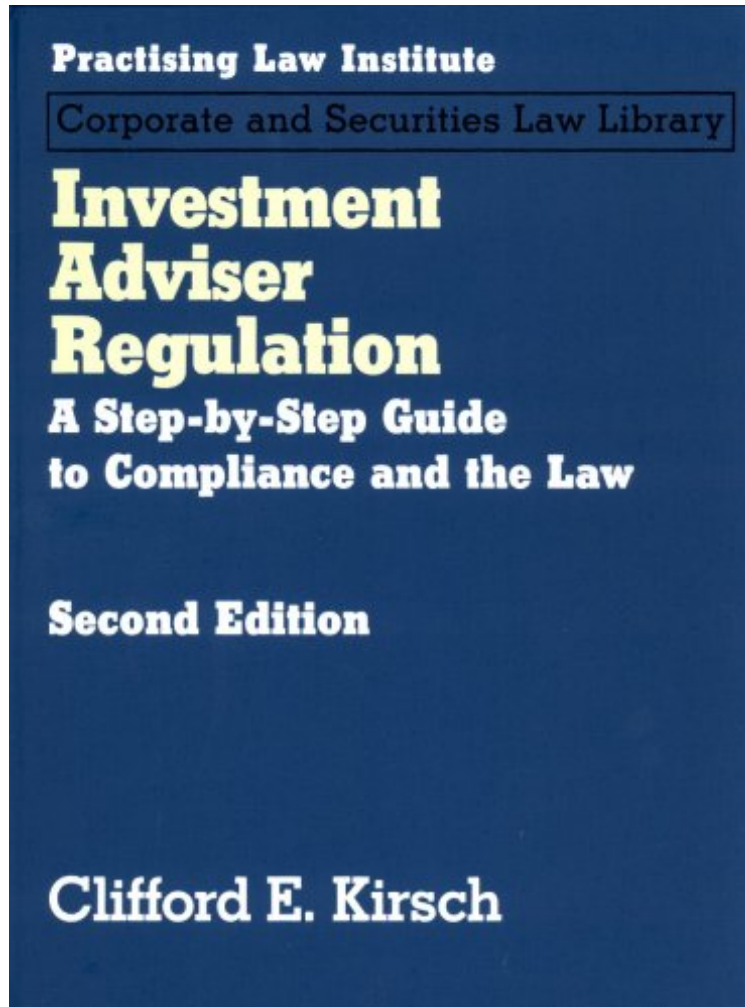


Investment Adviser Regulation: A Step-by-step Guide to Compliance and the Law (2 Vol set)

Clifford Kirsch

**Download PDF | ePub | DOC | audiobook | ebooks*



 Download

 Read Online

#6058852 in Books 2011Original language:EnglishPDF # 1 10.00 x 7.25 x 3.75l, .0 #File Name: 14024077181285 pages | File size: 16.Mb

Clifford Kirsch : Investment Adviser Regulation: A Step-by-step Guide to Compliance and the Law (2 Vol set) before purchasing it in order to gage whether or not it would be worth my time, and all praised Investment Adviser Regulation: A Step-by-step Guide to Compliance and the Law (2 Vol set):

0 of 0 people found the following review helpful. Good BookBy BobI am very happy with this book. It is not easy reading but if you are a Registered Investment Advisor or planning to be one, I would strongly recommend this book to you. It will tell you what you need to know.

Guides you effortlessly through the maze of federal state statutory investment adviser regulations...Steer clear of SEC

problems with this easy-to-use guide to the laws and regulations governing investment advisers. Investment Adviser Regulation explains in clear, understandable language the regulation of investment advisers, offering complete guidance on the federal and state laws governing adviser conduct with particular attention to the Investment Advisers Act, the Investment Company Act, and the Employee Retirement Income Security Act (ERISA). In addition to a clear explanation of the law, Investment Adviser Regulation provides in-depth analysis of complex status questions that determine crucial registration, disclosure and liability issues; a detailed explanation of Form ADV; potential conflicts of interest; relevant SEC releases and no-action letters; and much more

About the Author Clifford E. Kirsch is a partner at Sutherland LLP. Prior to that he was first Vice President and Associate General Counsel at Paine Webber's asset management subsidiary.