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Investment Adviser's Legal Compliance Guide

Terrance O'Malley

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Terrance O'Malley : Investment Adviser's Legal Compliance Guide before purchasing it in order to gage whether or not it would be worth my time, and all praised Investment Adviser's Legal Compliance Guide:

Investment Adviser's Legal and Compliance Guide is an invaluable guide written to assist attorneys and advisers in both drafting their policies and procedures and reviewing them annually. In addition, the book serves as a practical tool for experienced attorneys and compliance officers for their changing responsibilities under new rules adopted under the Investment Advisers Act of 1940, as well as new staff interpretations and guidance. Investment Adviser's Legal and Compliance Guide also provides an in depth tutorial for attorneys and compliance officers who are new to this field. Investment Adviser's Legal and Compliance Guide covers in detail such topics as: Filings and amendments that an adviser must make to maintain its SEC registration Major rules and requirements dealing with marketing and attracting new clients The SEC's inspection process New clients, and the management of client accounts. The book also covers requirements relating to the adviser's obligation to its customer, including preventing insider trading and other trading abuses, as well as an adviser's recordkeeping, which is a major factor in meeting the requirement of the Investment Advisers Act. In addition, Investment Adviser's Legal and Compliance Guide provides registered investment advisers and their legal counsel with a comprehensive review of their compliance responsibilities that arise

under the Investment Advisers Act.