

Investor and Industry Perspectives on Investment Advisers and Broker-Dealers

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Angela A. Hung, Noreen Clancy, Jeff Dominitz, Eric Talley, Claude Berrebi : Investor and Industry Perspectives on Investment Advisers and Broker-Dealers before purchasing it in order to gauge whether or not it would be worth my time, and all praised Investor and Industry Perspectives on Investment Advisers and Broker-Dealers:

In theory, financial professionals are relatively distinct: A broker-dealer conducts transactions in securities on behalf of itself and others; and an investment adviser provides advice to others regarding securities. Different laws regulate each type of professional, but boundaries have blurred. This report examines current business practices and investor understanding of each type.

From the Inside Flap This report examines current practices and investor understanding of broker-dealers, and investment advisers--two distinct types of financial professionals whose boundaries have blurred in recent decades.