



The RIA's Compliance Solution Book: Answers for the Critical Questions

Elayne Robertson Demby

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Registered investment advisers are accustomed to regulatory scrutiny. But the pressure to understand changing compliance regulations and to meet the requirements they impose has never been more intense. A range of scandals and abuses—from the laundering of terrorist funds to mutual fund trading shenanigans—has caused the Securities and Exchange Commission to tighten regulation and step up enforcement. Unfortunately, definitive compliance information—the kind that can save advisers precious time and spare them serious trouble--has not been easy to find. Until now.

The RIA's Compliance Solution Book gathers the information needed most and puts it all in one place. Here advisers will find plain-English translations of the rules that regulate such issues as:

- advisory contracts and fees
- advertising and client communications
- RIA compliance programs and codes of ethics
- custody of customer accounts
- completing, filing, and amending Form ADV
- selecting brokers and executing trades

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