

1. Record Nr.	UNINA9910830247503321
Autore	Demby Elayne Robertson <1962->
Titolo	The RIA's compliance solution book [[electronic resource]] : answers for the critical questions // Elayne Robertson Demby
Pubbl/distr/stampa	New York, : Bloomberg Press, 2006
ISBN	0-470-88508-4 1-119-20135-7 1-282-68977-0 9786612689772 0-470-88305-7 1-57660-253-2
Edizione	[1st ed.]
Descrizione fisica	1 online resource (317 p.)
Collana	Bloomberg Financial ; ; v.57
Disciplina	346.73/0926 346.730926
Soggetti	Investment advisors - Legal status, laws, etc - United States Investment advisors - Licenses - United States Investments - Law and legislation - United States
Lingua di pubblicazione	Inglese
Formato	Materiale a stampa
Livello bibliografico	Monografia
Note generali	Includes index.
Nota di contenuto	Terms and acronyms -- Federal and state laws and other regulations -- RIA registration : what it means, how it's done -- The nuts and bolts of Form ADV -- How to complete Form ADV part 1 -- How to complete Form ADV part 2 -- RIA compliance programs and codes of ethics -- Investment recommendations and fiduciary obligations -- Advisory contracts and fees -- Custody of customer accounts -- Selecting brokers and executing trades -- Personal securities trading and reporting -- Voting client proxies -- Record-keeping requirements -- Advertising and client communications -- Referrals -- ERISA plans -- Soft dollars -- Protecting clients' privacy -- Money laundering -- Supervising employees -- SEC examinations and enforcement actions.
Sommario/riassunto	"A handbook for registered investment advisers that not only explains how regulations affect their firms, but also provides step by step directions on what they need to do to comply with them"--Provided by

publisher.
