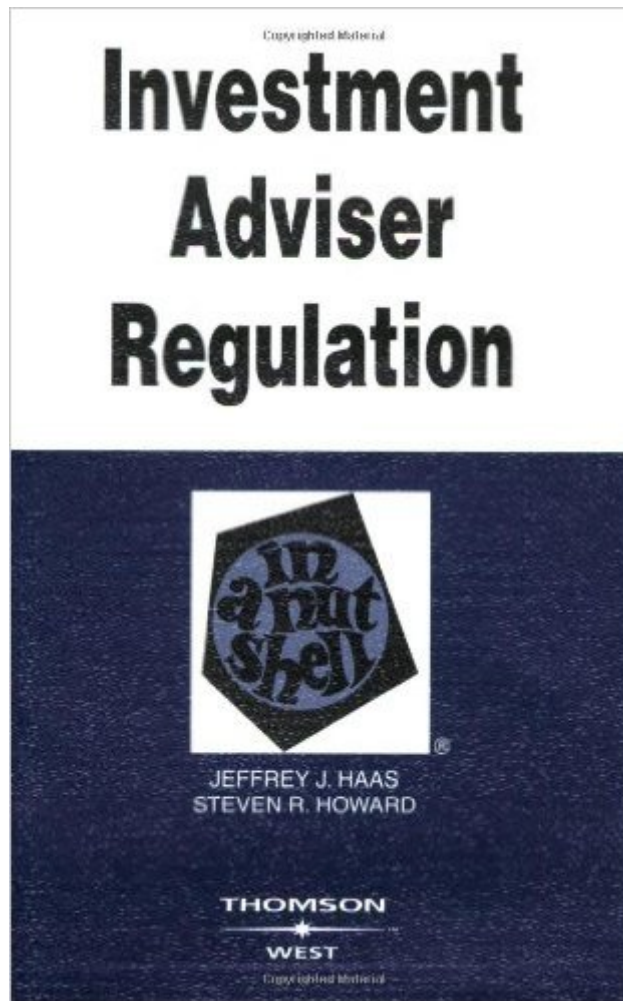# Investment Adviser Regulation In A Nutshell

Synopsis

This book is designed for those interested in learning the fundamentals of investment adviser regulation as set forth primarily in the Investment Advisers Act of 1940 and the rules and regulations promulgated by the Securities and Exchange Commission thereunder. In particular, it is targeted towards investment advisers and their chief compliance officers. However, those associated with mutual funds, hedge funds, private equity funds and collateralized debt obligation (CDO) funds will likely find it useful as well.

Book Information

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Customer Reviews

Handy little book purchased because finding legible text on the 1940 Advisers Act is neigh on impossible. However, Financial Reform Act will change a bit of it.

Find this to be useful as a tool for RIAs to identify and prioritize areas of compliance and regulatory risk.

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