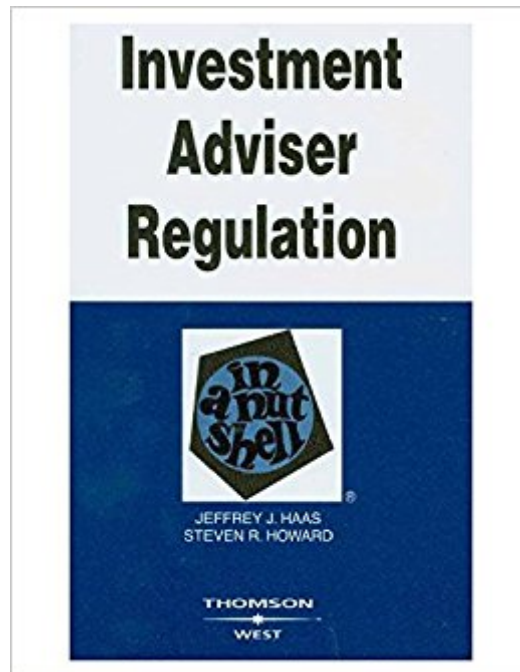




The book was found

Investment Adviser Regulation In A Nutshell



Synopsis

Investment Adviser Regulation in a Nutshell is designed for persons interested in learning the fundamentals of regulation set forth primarily in the Investment Advisers Act of 1940 and the Securities and Exchange Commission rules and regulations. In particular, this book is targeted toward investment advisers and their chief compliance officers. However, those associated with mutual funds, hedge funds, private equity funds, and collateralized debt obligation funds will find it useful as well.

Book Information

File Size: 3312 KB

Print Length: 610 pages

Publisher: West Academic Publishing; 1 edition (January 8, 2008)

Publication Date: January 8, 2008

Sold by:Â Digital Services LLC

Language: English

ASIN: B01E0DS680

Text-to-Speech: Enabled

X-Ray: Not Enabled

Word Wise: Enabled

Lending: Not Enabled

Screen Reader: Supported

Enhanced Typesetting: Enabled

Best Sellers Rank: #901,641 Paid in Kindle Store (See Top 100 Paid in Kindle Store) #27

inÂ Kindle Store > Kindle eBooks > Law > Business > Banking #93 inÂ Books > Law > Business > Banking #151 inÂ Books > Law > Business > Securities

Customer Reviews

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

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.

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