

[Read ebook] Regulation of Money Managers: Mutual Funds and Advisers

Regulation of Money Managers: Mutual Funds and Advisers

Tamar Frankel, Ann Taylor Schwing

*DOC | *audiobook | ebooks | Download PDF | ePub*

 Download

 Read Online

#9951335 in Books 2000-12-19 Original language: English PDF # 4 14.75 x 10.75 x 9.50l, #File Name: 07355184594330 pages | File size: 79.Mb

Tamar Frankel, Ann Taylor Schwing : Regulation of Money Managers: Mutual Funds and Advisers before purchasing it in order to gauge whether or not it would be worth my time, and all praised Regulation of Money Managers: Mutual Funds and Advisers:

Widely regarded as the most comprehensive and penetrating analysis of the regulation surrounding investment advisers and companies, *The Regulation of Money Managers, 2nd Edition* provides unsurpassed guidance for legal counsel in the field. Newly revised and now in a looseleaf format, *The Regulation of Money Managers, 2nd Edition* keeps you up-to-date with all significant new and proposed SEC rules, no-action letters, and interpretive releases, as well as important cases and relevant regulation from other agencies. Among the crucial topics and developments covered, you'll find: Insider trading What constitutes "financial advice" in the employer/employee relationship The Sarbanes-Oxley Act The structure and organization of investment companies The Gramm-Leach-Bliley Act of 1999 The U.S.A. Patriot Act Conditions under which foreign investment companies may offer their securities in the United States Governance issues The SEC's rules and regulations implementing legislation that divided the responsibilities of regulating advisers among the states and the commission Discount brokerage services Internet trading issues Conflicts of interest Money market funds How to avoid Federal Reserve Board jurisdiction Custody of clients' funds Stock appreciation rights If your practice involves the management of investments or investment companies, you'll find

everything you need in this virtually inexhaustible resource.