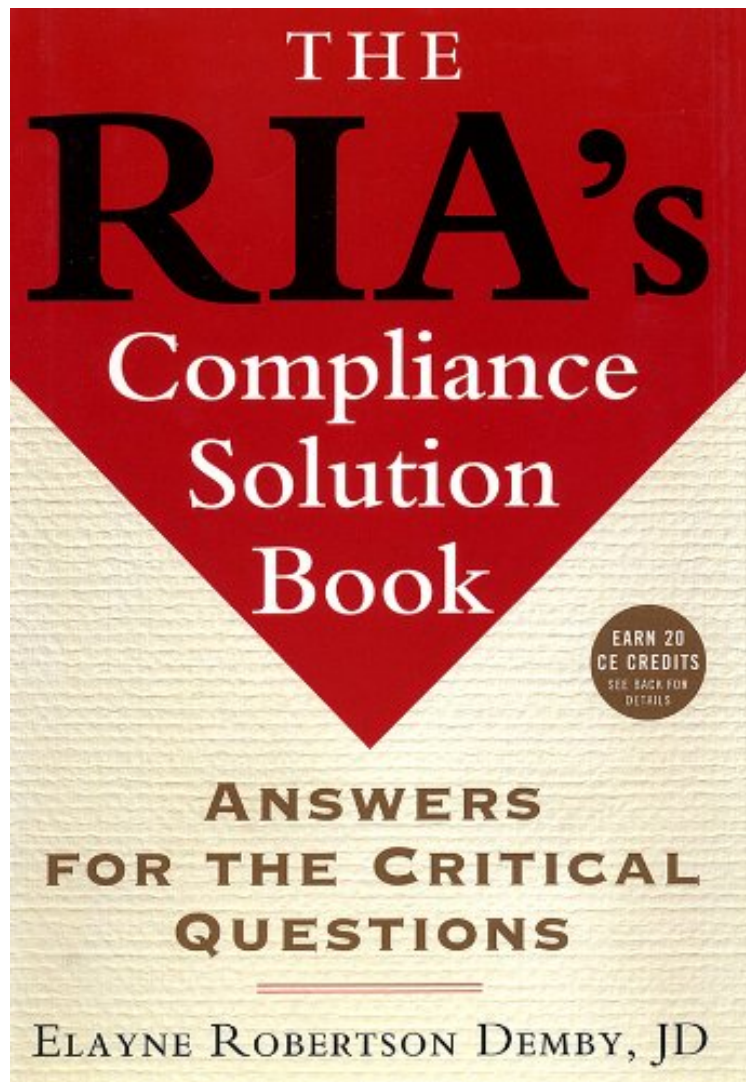


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The RIA's Compliance Solution Book: Answers for the Critical Questions (Bloomberg Financial)

Elayne Robertson Demby

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Elayne Robertson Demby : The RIA's Compliance Solution Book: Answers for the Critical Questions (Bloomberg Financial) before purchasing it in order to gage whether or not it would be worth my time, and all praised The RIA's Compliance Solution Book: Answers for the Critical Questions (Bloomberg Financial):

2 of 2 people found the following review helpful. It covers pretty much all the basic informationBy Kyle T.I bought this about 5 years ago wanted to be an investment advisor (IA) or setting one up my own. It covers pretty much all the basic information. But after working in the field for about 3 years, I must say this book covers pretty much all the

standard compliance pitfall that a RIA might step into. But this information are available to the public and you should know most of it already if you have taken RIA licensing exam. RIA operations are much more complex and often, conflict of interests arise. Senior manger and owner have serious power over IAs and their clients. The problem is even more is magnified if your RIA also provides other services like taxes, investments, or financial planning, etc. And don't even get me started on private asset management companies. You can get all the information in this book directly on FINRA and the SEC website and are updated regularly. The book that I needed was a book that provides advises ethics for IAs and RIA conducts and behaviors along with real life example of of RIAs operations. For all the IAs newcomers, do research your RIA carefully before joining one. 0 of 0 people found the following review helpful. Useful Format - Great Appreciation for the Complexity of Compliance By Edward J. Barton Although getting dated (10 years on) and some of the dollar amounts and rules have changed, the book will provide the RIA reader with a clear and cogent understanding of the key elements of compliance. Written in a QA format, the author dos a fine job of narrowing down the issues to the ones most likely to be encountered, as well as provides a set of summary exhibits for each of the major components. The appendices are also useful - if dated now. After reading the book, you will walk away with a realization that compliance is a complex and major concern for the small RIA, that the firms that provide compliance services probably earn their due, and that absent a good CCO, the small RIA will be faced with quite a bit of administrative and legal headaches to understand and comply with these rules. After reading it, I can attest that I would look to getting help on compliance - and do it yourself should be done with caution - if at all. 0 of 0 people found the following review helpful. A complete guide to IA compliance a must read! By Vito Marangelli A complete guide to IA compliance solution for anyone interested learning IA rules and regulations. I recommend this book to all compliance professionals.

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

"Ideal for both small and large practices as a concise refresher for—;many compliance topics you may have forgotten." - NAPFA Advisor "As a reference book and a handy source on compliance, this book is a worthy addition to every RIA's shelf." - Morningstar Advisor.com "A great book. It's extremely valuable to both the experienced and the soon-to-be adviser. If I'd had it when I was setting up my RIA firm, it would have saved me hundreds of dollars in legal fees. Now, as an experienced adviser, The RIA's Compliance Solution Book can save me thousands in fees. Demby's book is an important tool to preventing many compliance problems and heading off potential noncompliance fines. I learned a lot while reading it. The QA format is great and very easy to read. Overall, a very useful, all-in-one guide book" —;Jeff Broadhurst, MBA, CFA Financial Advisor and President of Broadhurst Financial Advisors, Inc. —; "If someone could define all those murky terms regulators like to use and put them in one place with a clear outline of all the regulatory issues advisers must address along with a road map for getting all the answers into an ADV, that resource would look a lot like The RIA's Compliance Solution Book." —;David J. Drucker, MBA, CFP President, Drucker Knowledge Systems From the Publisher Professional praise includes: "This book is extremely valuable. If I'd had it when I was setting up my RIA firm, it would have saved me hundreds of dollars in legal fees. Now, it can save me thousands in fees." Jeffrey B. Broadhurst, MBA, CFA, President of Broadhurst Financial Advisors, Inc. "If someone could define all those murky terms regulators like to use and put them in one place with a clear outline of all the regulatory issues advisers must address along with a roadmap for getting all the answers into an ADV, that resource would look a lot like The RIA's Compliance Solution Book. David J. Drucker, President of Drucker Knowledge Systems and co-author of Virtual-Office Tools for a High-Margin Practice