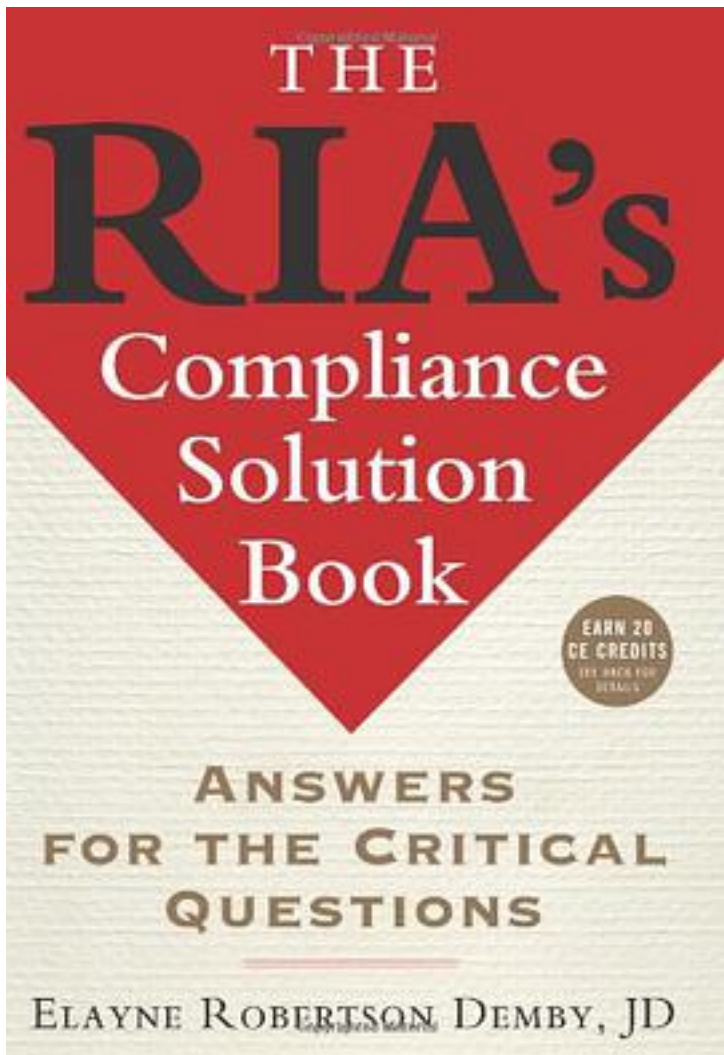


# The RIA's Compliance Solution Book



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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 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. This 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. EARN 20 HOURS OF CREDIT TOWARD YOUR CFP BOARD CE REQUIREMENT AS WELL AS PACE RECERTIFICATION CREDIT

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