

Policies & Procedures for Investment Advisors



Wolters Kluwer
Financial Services

Policies & Procedures for Investment Advisors Can Help You:

- Assemble and update investment adviser supervisory procedures required by regulators
- Edit and customize your content in a web-based, Word-friendly environment
- Seamlessly integrate your existing content
- Approve and publish your manual throughout your organization via the web
- Monitor and organize all key regulatory and filing deadlines

An all-inclusive solution to assembling and updating investment adviser manuals required by regulators, Policies & Procedures for Investment Advisors provides expert guidance in creating a compliance manual that meets SEC Rule 206(4)-7 requirements. Authored by a team of experts in investment management, Policies & Procedures for Investment Advisors allows compliance professionals to create, revise, publish, navigate and distribute a compliance manual easily and efficiently.

Policies & Procedures for Investment Advisors is the only solution that combines the content expertise of the most trusted name in the compliance business with the flexibility to integrate your existing content into one revolutionary workflow solution.

Complete Regulatory Coverage

Policies & Procedures for Investment Advisors Compliance Manual covers the Gramm Leach Bliley Act, Insider Trading and Securities Fraud Enforcement Act of 1933, Investment Advisers Act of 1940, Investment Company Act of 1940, Regulation S-P, Securities Act of 1933 and the USA PATRIOT Act, among others.

User Friendly, Web-Based Solution

Web-based editing in a Word-friendly environment gives you the ability to make changes and customize your content. It also enables multiple editors, which you authorize, to work on different sections of the same manual – directly on the web. Approve edits, publish a new version and securely distribute your manual to your entire organization via the web – easily and effortlessly.

Complete Customization

Our powerful Policies & Procedures Wizard guides you through the manual assembly process. Each question is designed to gather information about your firm in order to provide customized content for your manual. Policies & Procedures for Investment Advisors also allows you to seamlessly integrate your existing content as needed. Once created, our online editing platform allows you to easily apply firm-specific information to your compliance manual.

Analytical Updates

Updates are published regularly, eliminating the need to monitor and interpret all the regulatory changes that affect investment advisers. Our service provides your firm with the research, analysis and preparation of compliance policies and procedures that you can confidently apply to your manual.

Policies & Procedures for Investment Advisors provides expert guidance in creating a compliance manual that meets SEC Rule 206(4)-7 requirements.

Comprehensive Chapters

The Investment Advisor Manual is 14 comprehensive chapters covering the wide variety of compliance issues you will confront in your day-to-day operations, including:

- Marketing (do's and don'ts)
- Employees (including personal trading)
- New Clients and Anti-Money Laundering
- Existing Clients and Privacy Procedures
- Formation (step-by-step fund set-up procedures)
- Investment Management (risk monitoring)

Archiving and Disaster Recovery

Previous versions of your manual are indexed and archived according to date for easy reference. The manuals are hosted at a secure facility, ensuring that your most important work is safeguarded and available at any time.

Newsletter and Calendar

Our quarterly newsletter provides in-depth explanation and insight on hot topics and recent regulatory changes. The Compliance Calendar allows you to monitor and organize all key regulatory and filing deadlines in one place.

Proven Compliance Expertise

Along with our team of professionals, Policies & Procedures for Investment Advisors is authored by a former SEC attorney who has advised many of the nation's largest investment advisory firms on compliance issues. Applying this knowledge and expertise, Policies & Procedures for Investment Advisors delivers the most complete, succinct and easy-to-read compliance procedures on the market today.

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To learn more details,
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