



Investment Adviser Regulation in a Nutshell

Jeffrey Haas, Steven Howard

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This book is designed for those interested in learning the fundamentals of investment adviser regulation as set forth primarily in the Investment Advisers Act of 1940 and the rules and regulations promulgated by the Securities and Exchange Commission thereunder. In particular, it is targeted towards investment advisers and their chief compliance officers. However, those associated with mutual funds, hedge funds, private equity funds and collateralized debt obligation (CDO) funds will likely find it useful as well.

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