



# **The Investment Advisor's Compliance Guide (Advisor's Guide)**

*Les Abromovitz*

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## **The Investment Advisor's Compliance Guide (Advisor's Guide)** Les Abromovitz

As the SEC and state securities regulators ramp up their regulatory supervision, investment advisers need to know what to do stay in compliance.

Simplify complex compliance activities, save yourself worry, and avoid severe sanctions with the all new *Investment Advisor's Compliance Guide*.

The Investment Advisor's Compliance Guide provides guidance on all of today's compliance issues, including:

- Rules affecting the use of social media
- Switching from SEC registration to state registration
- The Form ADV Disclosure Brochure
- Specific changes mandated by Dodd-Frank
- SEC whistleblower activities
- And much more

The expert author, Les Abromovitz, is an attorney with extensive experience in handling compliance consulting assignments for Registered Investment Advisers (RIAs). In *The Investment Advisor's Compliance Guide*, he has created a completely up-to-date, reader-friendly, go-to-resource for investment advisors, vital for veterans but also a powerful training tool for those new to the field.

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