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The Core: Practical Advisers Act Compliance For The Private Fund Adviser (Volume 1)



Synopsis

It's no secret that investment advisers to hedge funds, private equity, and other private funds have been subjected to intense regulatory scrutiny of late. Yet, until recently, most were not required to register under the Investment Advisers Act and were not subject to any of its rules. Enter the market crisis of 2008. In the fallout, Dodd-Frank amended the Act, ushering in a new world of government oversight for private fund advisers—a world fraught with pitfalls! Among other things, fund advisers are expected to adopt compliance programs to meet the requirements of innumerable provisions of law, regulations, interpretations, and no-action letters. Most of these were never intended to apply to, and are often ill-fitted to, address the practices of private fund advisers. Whether a seasoned pro or novice, it can be a challenge to sort out what is truly applicable from what is not. This invaluable resource provides candid advice to help clear up the confusion. The Core identifies the foundational requirements that all private fund advisers must address within their compliance programs. In plain English, The Core helps advisers to recognize regulatory risks and prepare controls to meet expectations, protect investors, and pass an SEC examination.

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Customer Reviews

A practical guide to compliance issues that every private fund manager should have not on their shelf but on their desk for daily reference. Theories presented in an easy-to-understand form go well beyond what should be done and focus on how to accomplish many of the challenging compliance tasks facing the modern private fund manager.

The title of the book says it all! Mederic has nicely captured the essence of the Advisers Act and the "core" compliance requirements with its associated risks faced by private fund advisers. The book is for all times and relevant for those fresh and entering the compliance profession as well as those already immersed in it. For the novice, it is a great ready reckoner as it gives an overview of all that is of utmost importance in carrying out their compliance duties. For the experienced, it is a great reminder.....a refresher of the very foundation on which compliance was built, which can be overlooked due to other pressing and demanding areas in compliance that has grabbed one's attention over the past few years. The book is written well, easy on the eye and mind, is laid out well with just the right amount of information and sufficient depth. It reinforces the sanctity and importance of compliance work. No matter what may come and go, the "core" principles is for all times and must become the core of every compliance professional. My favorite chapter is on Trading. Mederic has demystified this rather tough topic and on soft dollars as well. Anyone new to this industry should pick up this book. It will serve as a great starter! Overall, Mederic has done a wonderful job in capturing the essence of compliance rules and practice. A timely reminder to us compliance professionals to stay on track and never forget the cardinal "core."

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