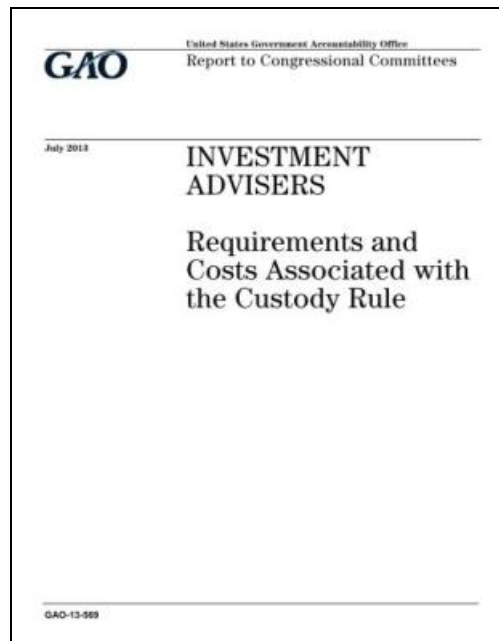


## Investment Advisers: Requirements and Costs Associated with the Custody Rule: Report to Congressional Committees. (Paperback)



Filesize: 5.3 MB

### ***Reviews***

*This ebook is worth purchasing. It is written in straightforward words and not hard to understand. You will not feel monotony at any time of your respective time (that's what catalogs are for about in the event you ask me).*


*(Eileen Kling I)*

## INVESTMENT ADVISERS: REQUIREMENTS AND COSTS ASSOCIATED WITH THE CUSTODY RULE: REPORT TO CONGRESSIONAL COMMITTEES. (PAPERBACK)

[DOWNLOAD](#)

Createspace Independent Publishing Platform, 2017. Paperback. Condition: New. Language: English . Brand New Book \*\*\*\*\* Print on Demand \*\*\*\*\*. Investment advisers provide a wide range of services and collectively manage around \$54 trillion in assets for around 24 million clients. Unlike banks and broker-dealers, investment advisers typically do not maintain physical custody of client assets. However, under federal securities regulations, advisers may be deemed to have custody because of their authority to access client assets, for example, by deducting advisory fees from a client account. High-profile fraud cases in recent years highlighted the risks faced by investors when an adviser has custody of their assets. In response, SEC amended its custody rule in 2009 to require a broader range of advisers to undergo annual surprise examinations by independent accountants. At the same time, SEC provided relief from this requirement to certain advisers, including those deemed to have custody solely because of their use of related but operationally independent custodians. The Dodd-Frank Wall Street Reform and Consumer Protection Act mandates GAO to study the costs associated with the custody rule. This report describes (1) the requirements of and costs associated with the custody rule and (2) SEC's rationale for not requiring advisers using related but operationally independent custodians to undergo surprise examinations. To address the objectives, GAO reviewed federal securities laws and related rules, analyzed data on advisers, and met with SEC, advisers.

 [Read Investment Advisers: Requirements and Costs Associated with the Custody Rule: Report to Congressional Committees. \(Paperback\) Online](#)

 [Download PDF Investment Advisers: Requirements and Costs Associated with the Custody Rule: Report to Congressional Committees. \(Paperback\)](#)

## Other Kindle Books



### **Index to the Classified Subject Catalogue of the Buffalo Library; The Whole System Being Adopted from the Classification and Subject Index of Mr. Melvil Dewey, with Some Modifications .**

Rarebooksclub.com, United States, 2013. Paperback. Book Condition: New. 246 x 189 mm. Language: English . Brand New Book \*\*\*\*\* Print on Demand \*\*\*\*\*.This historic book may have numerous typos and missing text. Purchasers can usually...

[Read Document »](#)



### **Daddyteller: How to Be a Hero to Your Kids and Teach Them What s Really by Telling Them One Simple Story at a Time**

Createspace, United States, 2013. Paperback. Book Condition: New. 214 x 149 mm. Language: English . Brand New Book \*\*\*\*\* Print on Demand \*\*\*\*\*.You have the power, Dad, to influence and educate your child. You can...

[Read Document »](#)



### **Fifty Years Hence, or What May Be in 1943**

Createspace, United States, 2015. Paperback. Book Condition: New. 279 x 216 mm. Language: English . Brand New Book \*\*\*\*\* Print on Demand \*\*\*\*\*. Fifty Years Hence is a quasi-fictional work by Robert Grimshaw, a professional...

[Read Document »](#)



### **Growing Up: From Baby to Adult High Beginning Book with Online Access**

Cambridge University Press, 2014. UNK. Book Condition: New. New Book. Shipped from US within 10 to 14 business days. Established seller since 2000.

[Read Document »](#)



### **Games with Books : 28 of the Best Childrens Books and How to Use Them to Help Your Child Learn - From Preschool to Third Grade**

Book Condition: Brand New. Book Condition: Brand New.

[Read Document »](#)