

Investment Management Suite

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Wolters Kluwer provides authoritative, accurate and timely analysis to support your 40 Act law practice so you can confidently advise clients who manage, advise, create, distribute, and maintain financial portfolios for public and private investments. Our targeted resources provide practical information and guidance on a wide variety of regulatory, disclosure, compliance issues and duties faced by broker-dealers, investment advisers and investment managers under the Investment Company Act of 1940 and the Investment Advisers Act of 1940.

- **Expert analysis** — Insights from leading practitioners on all aspects of investment management, including Investment Advisor's Legal & Compliance Guide by Terrance J. O'Malley and John H. Walsh; Broker Dealer Law and Regulation by Norman S. Poser and James A. Fanto; and Regulation of Money Managers by Tamar Frankel and Ann Taylor Schwing.
- **Authoritative content** — Access to the Mutual Funds Guide, a unique, all-in-one resource that provides the legal requirements, key contacts and ongoing reporting on important issues that affect mutual funds and their operations.
- **Current awareness** — Stay on top of the latest developments through news from Investment Lawyer edited by Stephanie Darling, which provides timely and practical coverage of the entire spectrum of problems investment professionals must confront and solve. Other current awareness resources include the monthly Hedge Fund and Private Equity newsletter and Mutual Funds Guide report letter.

LISTING OF TITLES AVAILABLE:

- **Broker Dealer Law and Regulation**
Norman S. Poser and James A. Fanto
- **Fundamentals of Securities Regulation**
Joel Seligman, Troy Paredes and the late Louis Loss
- **Hedge Funds and Private Equity**
- **Investment Advisor's Legal & Compliance Guide**
Terrance J. O'Malley and John H. Walsh
- **Investment Lawyer**
Stephanie Darling
- **Investment Management Law & Regulation**
Harvey E. Bines and Steve Thel
- **Mutual Funds Guide**
- **Regulation of Money Managers**
Tamar Frankel and Ann Taylor Schwing

Broker Dealer Law and Regulation

Norman S. Poser and James A. Fanto

Provides the authoritative analysis and practical guidance practitioners need to advise clients on their duties and liabilities on a wide array of issues faced by broker-dealers. Covers duties under the common law; obligations imposed by the federal securities statutes; the latest federal and state law governing private litigation and arbitration between broker-dealers and their customers; and a multitude of SEC, FINRA, and NYSE regulations. Other key topics include broker-dealer registration and the registration process, recordkeeping and reporting, examination requirements, exemptions from broker-dealer registration for banks and other financial institutions, applicable privacy and anti-money laundering rules, financial and capital regulation, structure of the securities markets, regulation of broker-

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dealers in public offerings, SEC and SRO enforcement, margin regulation, regulation of hypothecation and lending of securities, and voidable contracts.

Fundamentals of Securities Regulation

Joel Seligman, Troy Paredes and the late Louis Loss

Provides quick access to the law of securities regulation as derived from the eleven-volume, landmark treatise, Securities Regulation. This consolidated, two-volume set distills the essence of Loss, Seligman, and Paredes' master work into a 2,300-page authoritative resource that reviews and analyzes the most significant aspects of securities regulation.

Hedge Funds and Private Equity

Provides monthly reporting on the latest regulatory and legislative developments affecting hedge funds and other private pools of capital. Each issue covers key domestic and international regulators and standard setters that impact hedge funds and other private pools of capital, including the SEC, the FASB, the Federal Reserve Board, the OCC, the Treasury, the IASB, the UK Financial Services Authority, the Hong Kong Securities and Futures Commission, and the European Commission.

Investment Advisor's Legal & Compliance Guide

Terrance J. O'Malley and John H. Walsh

This definitive guide encompasses the most current discussion of legal and compliance topics for investment advisers and incorporates the latest SEC guidance provided in rule releases, policy statements, no-action letters, and SEC staff speeches. In addition, the Guide provides registered investment advisers and their legal counsel with a comprehensive review of their corporate responsibilities that arise under the Investment Advisers Act.

Investment Lawyer

Stephanie Darling

This monthly newsletter is devoted exclusively to investment management and provides timely and practical coverage of the entire spectrum of problems investment

professionals must confront and solve. It gives practitioners answers to complex questions plus timely reporting on regulatory and industry developments.

Investment Management Law & Regulation

Harvey E. Bines and Steve Thel

This authoritative work offers a comprehensive examination of the field of investment management law, covering everything from financial theory and legal theory to the various aspects of hands-on fund management. Also included are practical tools that help predict how regulators will respond to new marketplace developments and products.

Mutual Funds Guide

As an essential resource for understanding the many complex and changing regulatory requirements in this area, the Guide is a deep repository of related primary source content combined with analytical discussion and coverage of the latest developments affecting mutual funds. Law practitioners who advise funds and investment advisers will find extensive discussion of such topics as Registration, Management and Insiders, Sales and Loads, Portfolio Transactions, Special Plans and more. Each topic includes explanations of the regulatory requirements for a particular matter/transaction as well as any relevant state securities mandates. Latest developments cover events such as SEC rulemaking, speeches and enforcement activities, corporate governance issues, accounting and financial reporting matters, litigation and international developments.

Regulation of Money Managers

Tamar Frankel and Ann Taylor Schwing

Provides comprehensive analysis of the regulation surrounding investment advisers and companies. This resource keeps legal counsel in the field up-to-date with all significant new and proposed SEC rules, no-action letters, interpretations, releases, important cases and agency regulation.