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The Ultimate Guide to the Advisers Act: A Practitioner's Guide (Practical Guide Series) (Volume 1)

Bettina Eckerle

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Bettina Eckerle : The Ultimate Guide to the Advisers Act: A Practitioner's Guide (Practical Guide Series) (Volume 1) before purchasing it in order to gage whether or not it would be worth my time, and all praised The Ultimate Guide to the Advisers Act: A Practitioner's Guide (Practical Guide Series) (Volume 1):

5 of 5 people found the following review helpful. Not Very UsefulBy FundLawyerAll of the previous reviews must be

friends of the author, as this book is very basic in scope, analysis and applicability. The scope is so narrow that it could have been handled with a simple memo posted on a blog or website. The analysis of this book is so rudimentary as to be of little practical use for a practitioner or anyone else. While the practical applicability of this book is strictly limited to those who are deciding if they need to register as an Investment Adviser and wish to obtain a very high-level understanding of that process. In short, this is not a practitioners handbook, it is lengthy memo on the applicability of the registration requirements of the Advisers Act. Anyone actually relying on this book for practical advice on the rules of and regulations under the Advisers Act on the operations of an investment adviser is certainly taking great regulatory risk. Moreover, readers should be very careful as the book oversimplifies many of the rules governing a registered Investment Adviser to the point that the written text is misleading and even plainly wrong. Also, while the book is listed as having 280 pages, be aware that only 145 of those pages are actual content (much of which is repetitive throughout the text). The rest is a reproduction of Form ADV (which may be useful if I didn't have a computer) and a relatively worthless index and glossary. I would estimate that there are as little as 30 pages of actual useful content. As mentioned above, this book may be useful in deciding if one needs to register as an Investment Adviser and the process of registering, but like the Form ADV, that information is generally publically available. Overall, this is a weak book that should only be purchased by the least sophisticated of practitioners or someone who knows nothing about the Advisers Act. Even for those individuals, there are better resources available.

0 of 1 people found the following review helpful. Very helpful book for RIAs By Maura Griffin Finally - a book written for financial advisors, not for lawyers in legalese. It is easy to understand and has all the need-to-know information in one place, practical tips are very useful, really helpful in our day-to-day compliance.

0 of 1 people found the following review helpful. You need this guide. (You know that you do) By P. J. Intelligent, succinct and well written from a practical perspective.

The Ultimate guide to the Advisers Act is finally a reference book that answers the questions many people involved in compliance at investment advisory firms, hedge funds, family offices, venture capital firms and private equity firms face in their day-to-day compliance routine. It is written for executives, as well as staff. With many illustrations and practical how-to tips, it is user-friendly and hits the key requirements for an effective compliance program under the Act. It tells you what to think about when starting out, as well as what to watch out for as a seasoned practitioner. It is written to make compliance accessible, easy to read, concise and pragmatic, with many charts and graphs for ease of use.

About the Author Bettina Eckerle is the founder of Eckerle Law, a law firm assisting companies with their legal and compliance needs. Her experience as a corporate lawyer spans more than two decades, starting out with Wall Street firm Debevoise Plimpton and Wachtell, Lipton, Rosen Katz, then as the General Counsel of an industry leader in the investment advisory space, where she oversaw legal affairs and compliance. She launched her own practice to make high-quality legal advice accessible and create value through strategic legal planning. She is a frequent speaker on legal and compliance topics.