



Mutual Funds and Exchange Traded Funds Regulation (November 2015 Edition)

Clifford E Kirsch

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Updated to reflect the Dodd-Frank Act, the many FINRA amended rules, and the SEC 2010 Amendments, the new third edition of **Mutual Funds and Exchange Traded Funds Regulation** offers definitive legal and compliance information, helping you to:

- Satisfy prospectus disclosure and delivery standards
- Draft airtight advisory, distribution, custodian, and other contracts
- Structure sound compensation agreements
- Exploit statutory safe harbors and other exemptions
- Use SEC-approved methods of valuating mutual fund shares
- Ensure marketing materials meet legal standards
- Avoid conflicts of interest, insider trading, and legal traps created by electronic technologies
- Satisfy inspectors' information requests while safeguarding sensitive materials

This two-volume treatise is also filled with practical suggestions on how to approach complex issues in such areas as dealing with valuation matters • distribution through intermediaries • structuring a 12b-1 plan • conducting a compliance review • and guarding against conflicts of interest. The most recent updates add coverage on the 2010 Amendments affecting liquidity requirements, proposed amendments on Rule 482 to provide more information on “target date funds” and under what conditions redemptions and payments may be suspended by money market funds.

Updated at least once a year, **Mutual Funds and Exchange Traded Funds Regulation** is an essential compliance tool for securities attorneys, mutual fund practitioners, compliance personnel, and risk officers in fund complexes, and valuable reading for business professionals and investors.

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