



Investment Adviser Resource Center

Compliance Tools [First-time Registrants](#)

- Dodd-Frank Decision Tree: Who Must Register with the SEC as an Investment Adviser?
[Download PDF](#) (40.97 K)
- Sample Timeline: SEC Registration and Development of Compliance Program
[Download PDF](#) (38.29 K)
- For Private Equity Fund Managers, Hedge Fund Managers and Other New Registrants: Becoming an SEC-Registered Investment Adviser
[Download PDF](#) (34.16 K)

Other Compliance Tools

(Password Required | [Click here to login](#))

- Worksheet and Checklist: SEC Registration and Development of Compliance Program
- Worksheet and Checklist: New Form ADV Part 2
- Personnel Questionnaire: New Form ADV Part 2B
- Compliance Manual Template

Webcasts

- [Dodd-Frank: New Requirements For PE, VC And Hedge Fund Advisers](#)

Client Alerts and Memos

- Investment Adviser Annual and Other Compliance Matters
[Download PDF](#) (2.93 M)
- Dodd-Frank - Title IV: Investment Adviser Registration; Investment Fund Reporting
[Download PDF](#) (4.66 M)
- Reminder: 2011 IARD Renewal Program
[Download PDF](#) (1.36 M)
- Marketing and Advertising Fundamentals for Private Investment Funds
[Download PDF](#) (6.44 M)

Other Resources

- SEC Press Releases
External Link: <http://www.sec.gov/news/press.shtml>
- SEC Final Rule Releases
External Link: <http://www.sec.gov/rules/final.shtml>
- SEC Proposed Rule Releases
External Link: <http://www.sec.gov/rules/proposed.shtml>
- Dodd-Frank Act

Recent Headlines

SEC Provides Certain Special Purpose Vehicles with Relief from Advisers Act Registration
[More »](#)

SEC Focuses on the Use of Social Media by Investment Advisers
[More »](#)

SEC Modifies "Accredited Investor" Definition
[More »](#)

Matthew S. Eisenberg spoke at, "The New Era of Systemic Risk Regulation - Form PF", U.S. Centric Outreach Program, Regulatory Compliance Association, December 2011.
[More »](#)

SEC Proposes Rules to Implement New Investment Adviser Registration Requirements Mandated by Dodd-Frank Act
[More »](#)

SEC Proposes New Whistleblower Program Under Dodd-Frank Act
[More »](#)

Connecticut Adopts New Form ADV Part 2
[More »](#)

SEC Adopts New Form ADV Part 2
[More »](#)

President Obama signs Dodd-Frank Act into Law: Changes to Investment Adviser Registration Requirements
[More »](#)

External Link: <http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?...>