



ATTORNEYS AT LAW

Investment Adviser – Annual and Other Compliance Matters

Date: 01/08/16

Please click the link below for our annual memorandum intended to provide our clients and friends with brief summaries of selected compliance matters relevant to investment advisers registered with the Securities and Exchange Commission pursuant to the Investment Advisers Act of 1940, as well as state-registered investment advisers and investment advisers that are exempt from registration with the SEC or a state securities regulator. This year's memorandum includes updates on matters such as:

- SEC and National Futures Association guidance regarding cybersecurity awareness and preparedness
- Proposed amendments to Form ADV and the requirement to maintain certain books and records
- Potential new anti-money laundering regulations applicable to federally registered advisers

Our memorandum is available [here](#).