

Growing within the Lines: The Investment Adviser's Advertising and Marketing Compliance Guide

Les Abromovitz

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Challenging economic times can present ripe marketing opportunities for investment advisers to acquire new clients. However, Registered Investment Advisors (RIA), as well as other investment adviser representatives, may be all too familiar with how difficult it can be to attract clients in today s highly-regulated environment where there are a myriad of advertising pitfalls.

Growing within the Lines: The Investment Adviser's Advertising and Marketing Compliance Guide offers frank discussions on:

The rules of engagement for advisors marketing and advertising efforts
Strategies to marking ethically and effectively, without stepping out of regulatory bounds
Understanding how to fulfill your fiduciary duty to existing and prospective clients
New ways to market your products and services, while reducing your risk and increasing awareness of common pit-falls and compliance issues



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