

Investment Advisers Act Compliance Developments in 2015

The year 2015 is shaping up to have an unusual focus on the center of that string of relationships tracing the path from end-investor to asset class -- that is, the nuts and bolts of asset management "operations." [Click here](#) to read my recent article about key operations-oriented compliance developments for investment advisers in 2015. The article discusses:

- *Cybersecurity and other tech-related issues.* Safekeeping assets and maintaining sound information systems is an obvious focal point of regulatory scrutiny this year.
- *Increased reporting of data.* The SEC and other regulators are intensifying their sifting of the data they gather on numerous forms. In coming months, asset managers can expect regulators to both seek more input (more new forms) and produce more output (studies analyzing the data, and rules implementing regulators' conclusions about the data).
- *Other core operational functions.* The SEC has placed operational integrity on par with more traditional concepts of compliance under the Investment Advisers Act.

The article, "Investment Advisers Act Compliance Developments in 2015," was published by Wolters Kluwer Financial in *Practical Compliance and Risk Management for the Securities Industry*. For the 2014 article in this Investment Advisers Act Developments series, with a focus on SEC examinations, please [click here](#). For information about earlier articles from the series, with a focus on the scope of an Investment Advisers Act compliance program (2013 article) and Investment Advisers Act registration requirements (2012 article), please [click here](#).

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