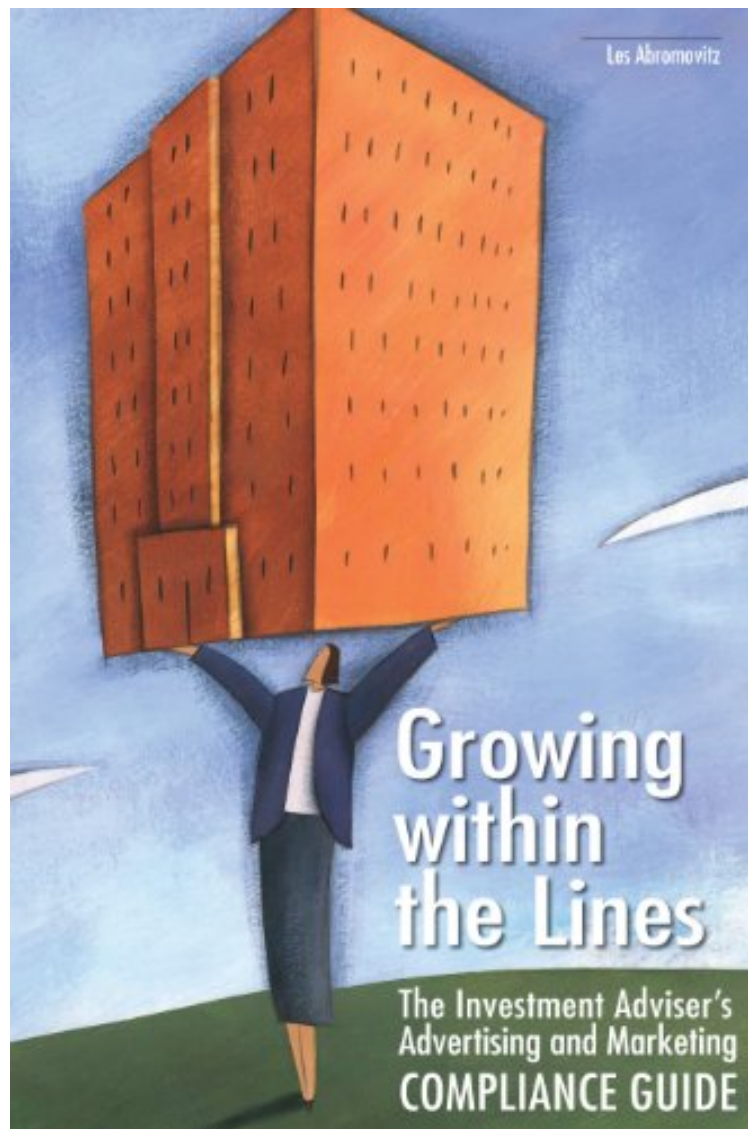


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Growing within the Lines: The Investment Adviser's Advertising and Marketing Compliance Guide

Les Abromovitz

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1 of 2 people found the following review helpful. Very helpful for RIA's CCOsBy JuliaA very useful book for an RIA CCO. With the ever-changing rules and regulations and the SEC's rules being open to interpretations more often than

not, this little volume provides very useful guidance to the rules of advertising.

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 marketing 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