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SEC Enforcement Priorities as a Guide for Investment Adviser Policies and Procedures

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SEC regulations require investment advisers to put into place policies and procedures that are reasonably designed to prevent violations of the securities laws and SEC rules. Reviewing enforcement trends is a helpful way to test for weak spots in existing policies and procedures, to learn from the pitfalls that have ensnared others, to think critically about the risks inherent in a particular adviser's business model and to be best situated for your next exam. In this chapter for *Globe Law and Business' Hedge Funds: A Practical Global Handbook to the Law and Regulation*, partners Charles Clark, Craig Warkol and Peter White and associate Noah Gillespie discuss the SEC's enforcement priorities with respect to investment adviser policies and procedures.

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