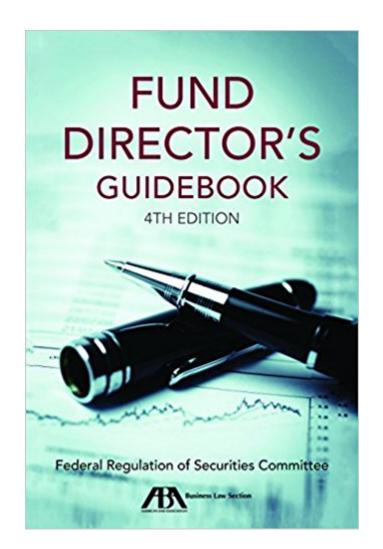


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Fund Directors Guidebook





Synopsis

This guide covers open-end funds (typically referred to as mutual funds), closed-end funds and exchange-traded funds. It is intended to assist directors of investment companies registered under the Investment Company Act of 1940 in fulfilling their responsibilities. Since 2006 when the third edition was published, there have been significant developments affecting funds in the wake of the 2008â "2009 financial crisis and the resulting legislation, the Dodd-Frank Act. There also has been increased civil litigation involving funds and their service providers, and a more active role of the SEC and its staff in asserting securities law fund-related violations, including SEC enforcement actions against independent directors brought under the 1940 act's compliance rule. This guidebook provides directors with an overview of the functions, responsibilities, and potential liabilities of fund directors; information about the structure and operations of the board and its relationship to the investment adviser, the distributor, and others; assistance to directors in discharging their responsibilities; suggestions as to how independent directors can best fulfill their responsibilities.

Book Information

Paperback: 194 pages Publisher: American Bar Association; 4 edition (December 1, 2016) Language: English ISBN-10: 1634252659 ISBN-13: 978-1634252652 Product Dimensions: 6.1 x 0.4 x 9 inches Shipping Weight: 10.4 ounces (View shipping rates and policies) Average Customer Review: Be the first to review this item Best Sellers Rank: #1,013,220 in Books (See Top 100 in Books) #97 in Books > Law > Business > Securities #160 in Books > Business & Money > Investing > Mutual Funds #383 in Books > Law > Business > Corporate Law

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