

## **Dodd-Frank and New SEC Rulemaking Initiatives: A New Regulatory Landscape for Investment Advisers**

Legal Alert  
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Garvey Schubert Barer Legal Update, Winter 2010.

Title IV of the Dodd-Frank Wall Street Reform and Consumer Protection Act will impact virtually every professional investment adviser when its provisions go into effect next July. Key changes made by Title IV, together with recent and future SEC rule-making initiatives, will establish new registration and compliance parameters for the entire U.S. asset management industry, from smaller and mid-sized firms providing traditional advisory and retirement account firms, to managers of private-equity, venture and hedge funds, to the largest fund managers handling billions of dollars of assets. It is not too soon for investment advisory firms impacted by the changes to begin to plan for July 2011.

[View attachment \(PDF\).](#)

**Contact**

Sy H. Bucholz  
Andrew J. Goodman