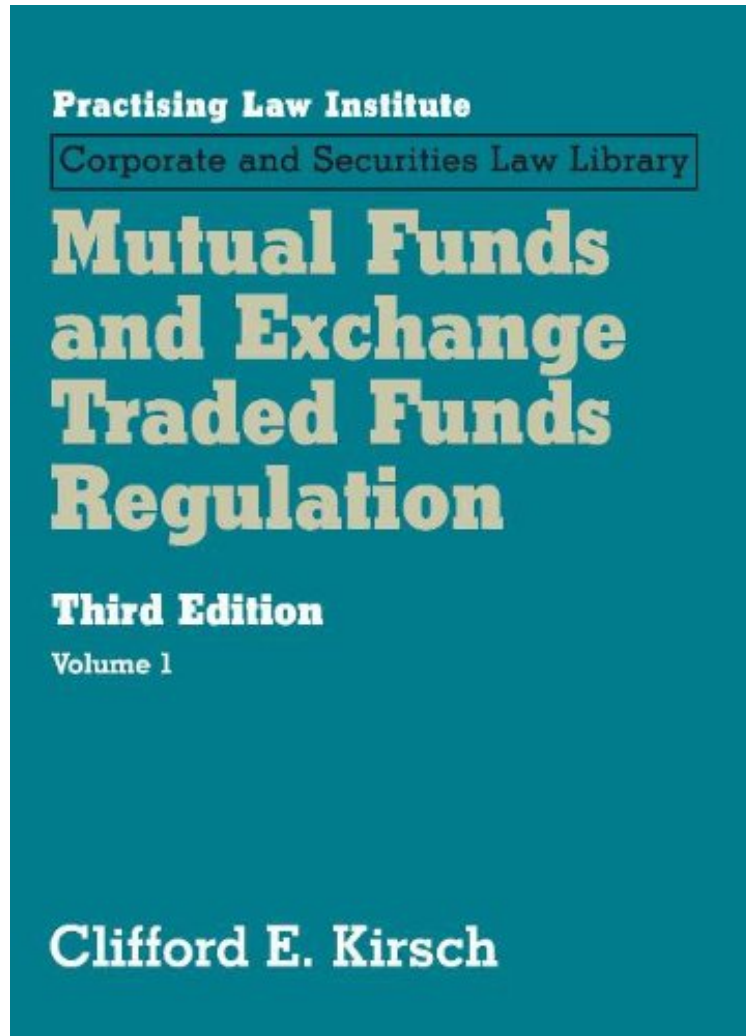


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# Mutual Funds and Exchange Traded Funds Regulation (November 2016 Edition)

*Clifford E Kirsch*

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custodian, and other contracts Structure sound compensation agreements Exploit statutory safe harbors and other exemptions Use SEC-approved methods of valuating mutual fund shares Ensure marketing materials meet legal standards Avoid conflicts of interest, insider trading, and legal traps created by electronic technologies Satisfy inspectors' information requests while safeguarding sensitive materials This two-volume treatise is also filled with practical suggestions on how to approach complex issues in such areas as dealing with valuation matters bull; distribution through intermediaries bull; structuring a 12b-1 plan bull; conducting a compliance review bull; and guarding against conflicts of interest. The most recent updates add coverage on the 2010 Amendments affecting liquidity requirements, proposed amendments on Rule 482 to provide more information on target date funds; and under what conditions redemptions and payments may be suspended by money market funds. Updated at least once a year, *Mutual Funds and Exchange Traded Funds Regulation* is an essential compliance tool for securities attorneys, mutual fund practitioners, compliance personnel, and risk officers in fund complexes, and valuable reading for business professionals and investors.

**About the Author** Clifford E. Kirsch is partner at Sutherland Asbill Brennan LLP in New York City. Previously, he was Vice President and Senior Corporate Counsel at the Prudential Insurance Company of America. Prior to that, he was first vice president and associate general counsel at Paine Webbers asset management subsidiary. From 1985 to 1994, he was on the Staff of the U.S. Securities and Exchange Commission, Division of Investment Management, in Washington, D.C. At the SEC, he held several positions, including Assistant Director in the Office of Insurance Products, and was a recipient of the Manuel F. Cohen Younger Lawyer Award.