

Small account investment management services: recommendations for clearer policies and guidelines - report.

- - FDIC: Trust Examination Manual

QUALITY ASSURANCE PLANNING DOCUMENTS				
Hierarchy	Goals	Review policy	Key elements	Users
Test policy				
Company	Report on a company's overall approach to testing	Policy reviewed	<ul style="list-style-type: none">Measuring of testing for the companyTest objectivesTesting elements and criteriaReporting and testing resultsTesting toolsReporting requirementsReporting requirements	Investment advisors, QA specialists, developers
Quality management plan				
Project	Define project, objectives, quality standards, and scope	Policy reviewed	<ul style="list-style-type: none">Quality objectivesKey deliverablesReview and responsibilitiesQuality standards	Investment advisors, QA specialists, developers
Test strategy				
Product	Define software, testing objectives, and align QA with business objectives	Policy reviewed	<ul style="list-style-type: none">Scope of testingTest objectivesTest environmentsTest dataReporting requirements	Investment advisors, QA specialists, developers
Test plan				
Release/cycle	Cover test scope and align tests to release cycle, future work, etc.	Policy reviewed	<ul style="list-style-type: none">Test itemsTest strategyTest dataTest environmentsTest dataTest resultsReporting requirements	QA specialists, developers
Test case				
Feature	Define testing requirements and test cases for each feature of a system	Policy reviewed	<ul style="list-style-type: none">Test case IDTest case descriptionTest dataTest resultsReporting requirements	QA specialists, developers

Description: -

- Investment advisors -- United States.Small account investment management services: recommendations for clearer policies and guidelines - report.

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Notes: Includes bibliographical references.

This edition was published in 1973



Filesize: 29.33 MB

Tags: #SEC.gov

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The proposed rules are designed to protect investors by being the first step towards enhanced compliance achieved through private initiative. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number. To the appearance of such conflicts, management should ensure that all investments meet the trust department's approved investment criteria.

Investment managers adopting reconciliation practices, but more work to be done: report

Written policies should address the use of own-bank demand and interest-bearing deposits. These guidelines are located in the FDIC Statement of Policy,.

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Unless the instrument permits the revocation or the modification of the agreement, the terms may not be changed.

Federal :: Compliance Programs of Investment Companies and Investment Advisers

Would the cost of these reviews be prohibitive for smaller advisers? The management of bank-sponsored proprietary mutual funds must prohibit any practice that could prove detrimental to the shareholders. Fiduciaries sometimes offer only one family of funds as its mutual fund investment option. In receiving this additional fee, a trustee should do the following.

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