

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

-- FDIC: Trust Examination Manual



Description: -

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

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

Notes: Includes bibliographical references.

This edition was published in 1973



Filesize: 29.33 MB

Tags: #SEC.gov

SEC.gov

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. ,

**FDIC: Trust Examination Manual**

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.

## Related Books

- [Major genealogical record sources in Japan](#)
- [Corina Portugal - história de sangue & luz](#)
- [Han'guk ūi konggong pumun - iron, kyumo wa sōngkyōk, kaehyōk panghyang](#)
- [Nizām al-usrah wa-hall mushkilātiha fī daw' al-Islām](#)
- [Letters from the United States, Cuba and Canada.](#)