



Protecting Your Practice (Hardback)

By Katherine Vessenes, International Association for Financial Planning

BLOOMBERG PRESS, United States, 2000. Hardback. Condition: New. Language: English. Brand new Book. This is the benchmark book for building client relationships, growing a practice, and avoiding litigation--written in association with the world's leading organization for financial services professionals. Audience: Broker-dealers and their home-office personnel, registered reps, accountants, tax advisers, insurance agents and insurance companies, wire houses, fee and commission planners, attorneys, trust officers, estate planners, and development officers in planned-giving departments. As investors gravitate toward no-load mutual funds and do-it-yourself investing through discount brokers, professionals are being squeezed by competition, consumer wariness, and tighter enforcement by the SEC, NASD, and state securities regulators. This book addresses these challenges, helping anyone offering financial advice to be more competitive, build client loyalty, and avoid the liabilities that come with managing someone's money in today's complex investment environment. How to offer better service, comply with key regulations, maintain vital records with a minimum of paperwork, and protect a business from malpractice claims.



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