

Welcome to the IAA



Delivering exceptional resources and value for investment advisory firms and their employees.



ADVOCACY

COMPLIANCE

EDUCATION

Welcome to the IAA

“The IAA provides timely information regarding SEC compliance issues and examination focus, and strong compliance training programs.”

CFO/CCO, \$700M AUM



The non-profit **Investment Adviser Association** exclusively serves SEC-registered investment advisory firms and their employees with a wide range of compliance, education, and advocacy resources.

Members have direct access to the IAA legal team; our comprehensive online legal, regulatory, and compliance library; informative news alerts, publications, and the monthly *IAA Newsletter*; discounts on educational programs and events; forums to discuss ideas and challenges with industry peers; and much more.

The IAA is the leading voice of the investment advisory profession on Capitol Hill and with regulatory agencies. We continuously engage legislators and we're actively involved in key issues with the SEC, CFTC, DOL, and state and international regulators. The IAA welcomes member involvement in our ongoing efforts to represent the interests of investment advisory firms on critical issues.

ADVOCACY

The IAA serves members as the only organization that exclusively represents the interests of SEC-registered investment advisory firms.

COMPLIANCE

The IAA provides members access to the IAA legal team and an extensive online library of legal, regulatory, and compliance resources.

EDUCATION

The IAA keeps members fully informed about relevant issues and timely topics with publications, conferences, workshops, webinars, and other educational programs.

“The IAA keeps us abreast of U.S. issues and best practices.”

GENERAL COUNSEL, \$34B AUM

“The IAA is the best resource for investment adviser and industry-related news. The staff is highly professional, proactive and knowledgeable.”

COMPLIANCE OFFICER, \$3.2B AUM

INVESTMENT ADVISERS ONLY

Only SEC-registered investment advisory firms are eligible to join the IAA as full members. Our programs and resources are designed to support the unique needs of different types of firms. All employees of IAA member firms enjoy complete access to the Association’s member benefits and resources.

UPHOLDING FIDUCIARY STANDARDS

Since its founding in 1937, the IAA has upheld certain principles of conduct for investment advisers, as incorporated in the IAA Standards of Practice. These principles have been used by Congress and the SEC as the basis for legislation and regulations governing the conduct of investment advisers, and by the U.S. Supreme Court in defining the standard of fiduciary conduct applicable to all investment advisers.

Over the years, both the investment advisory profession and the laws that govern the industry have changed dramatically. The IAA’s Standards of Practice, with its strong emphasis on an investment adviser’s core fiduciary duty, have remained relevant throughout these changes.



IAA BENEFITS CHECKLIST

Legal Team Access	✓
Advocacy (Capitol Hill, SEC, Agencies)	✓
Legal and Regulatory Resources	✓
Compliance Resources	✓
Online Forums	✓
IAA Newsletter	✓
Member Alerts	✓
Committees and Working Groups	✓
Networking with IAA Members	✓
Industry Reports and Surveys	✓
Annual Leadership Conference	✓
Compliance Workshops	✓
Annual Compliance Conference	✓
Webinars	✓
Certification and Training	✓

IAA Member Benefits

“The IAA is our CCO’s first stop for information on compliance matters through its written and online material and access to its legal team. Establishing relationships with like organizations is valuable as well.”

CEO, \$1.2B AUM

IAA LEGAL TEAM — Discuss your specific issues with our knowledgeable attorneys. You will receive practical information on a variety of regulatory and compliance matters, such as Form ADV, custody, pay to play, whistleblower, codes of ethics, privacy, state filing issues, and much more.

ADVISER ADVOCACY — Participate in efforts with fellow IAA members to educate legislators and regulators about the specific concerns of investment advisory firms.

LEGAL AND REGULATORY RESOURCES — Access the IAA’s comprehensive online library. The searchable database covers 29 major topic areas, providing outlines and articles prepared by industry experts, as well as links to relevant rules and IAA guidance. Subject areas include advertising, advisory agreements, soft dollars, anti-money laundering, hedge funds, private equity funds, wrap fee arrangements, proxy voting, and more.

COMPLIANCE GUIDES — Obtain practical information to build a successful compliance program for your firm. IAA resource materials and documents will help your firm prepare for SEC exams and assist your staff in drafting policies and procedures.

INTERACTION WITH POLICYMAKERS — Meet with policymakers to discuss and advise about regulatory issues that directly affect investment advisers. The IAA has long-standing relationships with the SEC, DOL, CFTC, Treasury, and other federal, state, and international regulators.

COMMENT LETTERS AND STATEMENTS — Gain a clear-cut understanding of changing legislative, regulatory, and policy issues. The IAA thoroughly researches the issues that can impact your firm and communicates its views through Congressional testimony, comment letters, and other reports and position papers.

ACCESS TO IAA’S LEGAL TEAM

The IAA legal team serves as a vital resource for all IAA member firms. Our attorneys’ extensive knowledge of the issues enables them to respond to member requests with information on a wide variety of topics that impact investment advisers. While the legal team does not offer “legal advice” as such, they can be a valuable resource for information on specific questions and can help you get the answers you need.



“The IAA allows us to tap into many resources we couldn’t otherwise access.”

LEAD PARTNER, \$475M AUM

“The legal/compliance brain trust is of exceptional value. The IAA’s advocacy is a huge benefit to the profession and is worth the cost on its own.”

CCO, \$9B AUM

EDUCATIONAL PROGRAMS — Participate in the IAA’s high-value educational offerings, including workshops, conferences, and webinars, at discounted member rates. In addition to gaining in-depth knowledge on timely and relevant topics of special interest to investment advisers, you’ll have the opportunity to participate in forums and networking activities.

NEWS AND ALERTS — Stay current on industry news that can impact you and your firm. The IAA’s monthly newsletter provides timely articles on industry issues; legal, regulatory and compliance updates; updates on advocacy and government relations activities; and much more. You’ll also receive exclusive email alerts to keep you updated on breaking industry news.

PUBLICATIONS LIBRARY — Retrieve current and archived IAA newsletters, member alerts, reports, surveys, comment letters, and other publications.

NETWORKING AND ONLINE FORUMS — Connect with your peers at other IAA member firms. IAA’s events and online forums enable you to exchange ideas and share insights about dealing with unique challenges that advisers face.

INDUSTRY LEADERSHIP — Shape the future of the Association and the investment advisory profession. The IAA gives members the opportunity to contribute their time and talent as committee participants and leaders.

INDUSTRY CERTIFICATION — Achieve industry recognition through the IAA’s Chartered Investment Counselor (CIC) program. The IAA also co-sponsors the Investment Adviser Certified Compliance Professional (IACCP) designation.

MEMBERS-ONLY RESOURCE LIBRARY

IAA’s online library handles thousands of visits from members who are seeking information on a wide range of legal, regulatory, and compliance issues. The material is updated continuously by the IAA legal team and supplements the one-on-one calls.



Why Firms Are IAA Members

"The IAA provides so much of everything for a small firm like ours."

MANAGING PARTNER, \$235M AUM

"The IAA is the leading investment management "watch dog/user friendly" organization in the USA and has the ultimate interests of RIAs at heart."

FOUNDING PARTNER, \$600M AUM

"To be kept informed of industry and legal developments."

GENERAL COUNSEL, \$1B AUM

"To have access to current information on constantly changing rules and regulations, as well as protect our clients' best interests."

PRINCIPAL, VP OPERATIONS & FINANCE, CCO, \$1.2B AUM

"Compliance resources, staying on top of industry developments, and networking."

PRINCIPAL AND PORTFOLIO MANAGER, \$1.3B AUM

"Great resource and valuable advocacy."

PRESIDENT, \$2.5B AUM

"It provides us with invaluable information absolutely necessary to the running of our firm. The staff is accessible and very responsive."

PRINCIPAL AND CCO, \$2.5B AUM

"For a smaller firm with fewer internal resources, the IAA is a valuable source of legal and compliance information. Our firm strongly supports the IAA as an advocate for our portion of the investment industry."

VICE PRESIDENT, CCO, \$3.2B AUM

"The IAA helps us keep up with new regulations and best practices."

CHIEF COMPLIANCE OFFICER, \$3.5B AUM

HOW TO JOIN

Contact the IAA to learn more. To download a membership application, visit our website and click on the "Join" tab. Annual membership dues are based on the firm's Regulatory Assets Under Management. Dues are prorated by month in the first year.

Phone: 202.293.4222

Email: services@investmentadviser.org

Online: www.investmentadviser.org



A variety of professionals with firms of all types and sizes find great value in being an IAA member.

“We get great value from the IAA’s resources and feel that supporting our industry is critical to its future.”

CCO, \$4B AUM

“The IAA connects us with what is happening in our industry. We are able to leverage the resources the IAA provides.”

FOUNDING PRINCIPAL, \$5.5B AUM

“In the last few years there have been so many compliance rule changes... our heads were spinning. We needed to take action to ensure that we weren’t missing anything. We attended an IAA Compliance Conference and were hooked. We became members soon after that first conference.”

CHIEF COMPLIANCE OFFICER, \$5.8B AUM

“Throughout many years we have found the expertise and informational base of the staff to be exceptional.”

CCO, \$9.9B AUM

“The IAA is the only financial industry organization that shares and promotes our firm’s values.”

CEO, \$30B AUM

“The IAA is a top notch organization with very talented people working to enhance our business.”

SVP, CCO, \$34B AUM

“For the legal and compliance support, the advocacy efforts, and the information about best practices in the industry.”

GENERAL COUNSEL, \$140B AUM

“As the sole industry group representing registered advisers, it is a must do.”

DEPUTY GENERAL COUNSEL, \$460B AUM

“Effective representation on adviser issues. Great networking opportunities. Committee membership.”

CCO, \$700B AUM

TOUR THE MEMBERS-ONLY LIBRARY

The IAA website gives members access to an extensive library of legal, regulatory, and compliance materials. Contact us for an introductory tour of the members-only resource library and to speak with a member of the IAA legal team.



Investment Adviser Association

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The **Investment Adviser Association** is dedicated to serving the interests of SEC-registered investment advisory firms. The Association was established in 1937 and played a major role in the enactment of the Investment Advisers Act of 1940—the federal law regulating the investment advisory profession.

IAA member firms collectively manage more than \$11 trillion in assets for a variety of individual and institutional clients. The IAA supports these member firms and their employees with a full range of advocacy, compliance, and educational resources.



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