

Books and Records Requirements

Investment Advisors are taking an ever-increasing role in the securities industry, one of the most regulated industries in the country. The business of the firm and its associated persons is under regulation and subject to review by various independent agencies, the SEC, and state jurisdictions to name but a few.

Essential to every Investment Advisor's business are the records it generates and keeps in the normal course of doing business. These records provide a transactional and regulatory audit trail, and are required for regulatory reasons. More importantly, they are essential to properly and professionally service the investing public.

- NCCI can assist you in defining which records your firm needs to create and maintain, and can aid in designing adequate, usable books and records systems.