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Regulation of Custodial Practices Under the Investment Advisers Act of 1940 Rule 206(4)-2

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Regulation of Custodial Practices under the Investment Advisers Act of 1940 is a comprehensive outline summarizing SEC regulatory requirements for investment advisers that have custody of their client's assets (or that want to avoid having custody). The author, Proskauer partner Robert Plaze, is a former Deputy Director of the Division of Investment Management at the SEC.

The publication is a companion to Bob's *Regulation of Investment Advisers* outline, which has been used for years by investment advisers as a guide to compliance with the Advisers Act. This updated outline takes a deep dive into one of the most complex areas of adviser regulation and offers insights into a regulation that affects the daily operations of SEC-registered advisers as well as their custodians, accountants and legal and compliance officers. Like the *Regulation of Investment Advisers* outline, it will be regularly updated to reflect new developments.

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