

Practice Area Guide

Investment Companies and Investment Advisers

Rely on us to keep you on top of banking, financial services, investment management and related industries.

Investment Company/Adviser Disclosure

We offer a wealth of features and content **tailored to investment management- and advisor-focused users.**

On our **SEC Filings page**, you can:

- Narrow your SEC filer search to **mutual funds** or to all investment companies
- Browse or text search **mutual fund families** or to see which fund series and contracts are mapped to which filing entities
- Construct a query using common investment company-specific **form groups**, including Certified Shareholder Reports, Exemptive Applications, NSARs, and fund prospectuses
- Find quarterly **holdings reports (Form 13F)** of institutional investment managers, including **hedge funds**
- View nearly 5,000 investment company **exemptive applications** going back to 2002

Three other search pages complement our filings searching:

Our **Investment Adviser Search** is a complete database of all active Form ADV registrations by SEC-registered advisors—about 20,000 records in all. Search fields include advisor firm, location and total assets under management.

Search public offerings by type of security (equity, debt, asset-backed, mortgage-backed, etc.) and by dollar amount, among other parameters, on our **Registrations Search** page. Includes over 1,500 form N-2 registrations by closed-end investment companies.

Our **Exempt Offerings Search** offers pinpoint-precision searching on all electronically available Form D filings. Limit your search to filers from the banking and financial services industry—or drill down further, filtering by such subcategories as **hedge funds, private equity, venture capital, commercial banking, insurance, and investment banking**. You can also target filers of a certain revenue range or aggregate net asset value range, as well as by the type of exemption they claim.

Regulation and Compliance

Our unprecedented **Laws, Rules and Agency materials search** page offers near-comprehensive coverage of federal financial regulation, including SROs (FINRA®, NYSE), banking regulators (the Federal Reserve, FDIC, National Credit Union Administration, OCC), the Department of the Treasury, and the CFTC and SEC.

You can also browse or search across the complete U.S. Code and CFR. Find the exact regulations you need in Title 17 CFR, which includes the **Investment Company and Investment Advisers Acts of 1940**.

Research and Guidance

Our unrivaled database of **law firm memos** features over 100,000 articles, memos, bulletins, and alerts from North America's top law firms. Covered practice areas include:

- Anti-money laundering
- Commodities, futures, derivatives
- Financial services
- Investment management
- Private equity, venture capital, hedge funds
- Securities

Current Awareness

Updated as the day's events unfold, our **keep current page** is a portal for the latest business and financial news. Stay on top of rulemaking with our agency updates panel and Dodd-Frank Rulemaking Tracker. See how actions from Congress and federal agencies are impacting the worlds of finance, banking, and investment.

Our Daily Fund News is delivered straight to your email inbox, keeping you informed of relevant SEC News, newly published Law Firm Memos of interest, and recent ICA and IA litigation releases.

Contact us to learn more.

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