

Investment Advisers Regulatory Checklist

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Winstead's [Investment Management & Private Funds Industry Group](#) is pleased to provide you a summary of the significant compliance and reporting requirements for investment advisers.

This coming year will have a revamped ADV with some new requirements. A significant new consideration is the challenges that new cryptocurrencies and other digital assets present for investment advisers and their compliance programs. Beyond the considerations for clients and the merits as an asset class, if a particular cryptocurrency or digital asset (such as an ICO, "securities" token or "utility" token) is a security, then trading in such asset by covered persons of an investment adviser are covered under an investment adviser's personal securities trading policy.

Finally, a continued focus on cybersecurity will likely dominate operational professionals' agenda for 2018. Risk and vulnerability assessments, employee education and vendor management and due diligence should be top of mind when putting together your cybersecurity to do list.

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