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THE NATIONAL INVESTMENT COMPANY SOURCE ASSOCIATION

# Mutual Fund Industry Handbook

*A Comprehensive Guide for  
Investment Professionals*

Lee Gremillion

with assistance from PricewaterhouseCoopers

*Foreword by John C. Bogle*

# **Mutual Fund Industry Handbook A Comprehensive Guide For Investment Professionals**

**Christian G. Meyer**



## **Mutual Fund Industry Handbook A Comprehensive Guide For Investment Professionals:**

*Mutual Fund Industry Handbook* Lee Gremillion, 2012-06-22 The Mutual Fund Industry Handbook is a remarkably important work I am profoundly impressed by the broad and comprehensive sweep of information and knowledge that this book makes available to industry participants college and business school students and anyone else with a serious interest in this industry From the Foreword by John C Bogle President Bogle Financial Markets Research Center Founder and former chief executive The Vanguard Group A Foreword by John C Bogle founder of The Vanguard Group and one of the most respected leaders in the mutual fund industry sets the stage for this authoritative book that explains the complexities of the phenomenal industry in simple terms Investors like the fact that mutual funds offer professional management easy diversification liquidity convenience a wide range of investment choices and regulatory protection Mutual Fund Industry Handbook touches on all of those features and focuses on the diverse functions performed in the day to day operations of the mutual fund industry You ll learn about Front office functions analysis buying and selling Back office functions including settlement custody accounting and reporting Commission structures front end loads back end loads or level loads The various fund categories used by the Investment Company Institute Morningstar and Lipper The roles played by fund managers investment advisors custodial banks distributors transfer agents and other third party service providers If you want a definitive reference on the mutual fund industry this is the book for you

**Regulation and Governance of Mutual Funds** Mohammed Khair Alshaleel, 2022-08-12 This book provides a detailed analysis of mutual fund regulations and governance in the UK from the investor protection perspective It comprehensively describes mutual funds by their function social utility and legal attributes examining the level of protection provided to retail investors under existing regulations Mutual funds are externally managed with fund ownership separated out from their management which carries a potential conflict of interest between the self interests of the fund management and each fund s investors The book provides an in depth analysis of this agency problem in the mutual fund industry comparing the competing governance models in the UK and the US and the supervision of management activities In the UK it investigates the main governance mechanisms including disclosure the effectiveness of voting rights and the role of the Financial Conduct Authority in protecting investors It also considers the role of prudential regulations in protecting mutual fund investors with a particular focus on risk management and mutual fund liquidity crisis The book further investigates the impact of the withdrawal of the UK from the European Union Brexit on the industry and what this means for the future of the undertakings for collective investment in transferable securities UCITS in the UK The concept of mutual funds is still not clearly understood so this book will clearly define the different legal and practical aspects of mutual funds It will be the first substantial study of mutual fund governance mechanisms under the existing mutual fund laws and regulations in the UK

[The ABCs of Mutual Funds](#) , 2009

**A Teen Guide to Buying Mutual Funds** Marylou Morano Kjelle, 2013-09 The world of investments can be both

confusing and intimidating but A Teen Guide to Buying Mutual Funds clearly explains what mutual funds are how they work and how to begin using them as an investment tool Learn about the types of mutual funds and the pros and cons of mutual fund investments Find practical advice including how to develop a financial plan and how to read a mutual fund prospectus along with a list of twenty popular mutual fund companies and contact information It s never too early to be thinking about investments and A Teen Guide to Buying Mutual Funds informs and guides the teen investor every step of the way

Investor Protection Hanneke Wegman,2015-11-24 The expansion of the fund industry has been one of the most notable trends in the financial markets of recent years Not only has the demand for funds among EU investors grown but both the number and types of investment funds also continue to increase Since investment funds available in the EU can be established both inside and outside the EU they may be subject to different investor protection regulations depending on where the fund is located Accordingly different levels of investor protection may exist between investors investing in EU funds and investors investing in non EU funds including US funds This book investigates whether there is a level playing field between EU investors investing in EU funds and EU investors investing in US funds and if not if there is a legal basis in current EU law for the EU regulator to adopt additional investor protection rules applying to investment funds The analysis considers the basic characteristics of investment funds how they function in practice and how they are regulated relating to investor protection issues Factors examined in depth include the following features of funds most relevant to the protection of retail investors operational structure investment strategies fee structure and legal structure of funds internal control systems transparency and disclosure rules conduct of business rules and depositary monitoring rules The author examines relevant EU directives and rules and the particular remit of each as well as US law applying to investment funds that are active in the EU Case law and relevant literature in the field is also drawn on As an assessment of the current degree of protection applying to funds that are available to EU retail investors as well as an up to date overview of regulatory requirements and procedures concerning the protection of EU investors in investment funds this book is unsurpassed Especially valuable is the closing discussion about whether the EU regulatory system provides for a level playing field of protection for EU retail investors and if not which additional rules can be adopted by the EU regulator in this area Lawyers and other professionals in all areas of law and policy concerned with investment and finance will find this book of great value

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