

Catching Up on Recent Regulatory Changes Resources

FinCEN Beneficial Ownership Information Reporting

- [FinCEN BOI Homepage](#)
- [Small Entity Compliance Guide](#)
- [FAQs](#)
- [Reference Materials](#)
- [E-Filing System](#)
- [FinCEN ID Application for Individuals](#)

FTC Non-Compete Ban

- [Final Rule](#)
- [Fact Sheet](#)
- [Worker Notification Model Language](#)
- [Advisor/Client Relationship Equitable Split \(ACRES\) Agreement](#)
- [Plaintiff Press Release](#)

Marketing Rule Enforcement

- [2023 SEC Press Release](#)
- [2024 SEC Press Release](#)
- [Marketing Rule](#)
- [Marketing Rule Adopting Release](#)

Reg S-P Amendments

- [Press Release](#)
- [Adopting Release](#)
- [Fact Sheet](#)

Custody Implication Due to SLOAs

- [2017 SEC No-Action Letter to the Investment Adviser Association](#)
- [Custody Rule](#)
- [Investment Adviser Association FAQs Regarding the 2017 SEC No-Action Letter to the Investment Adviser Association](#)
- [Schwab SEC Custody Rule No-Action Letter and Additional Guidance](#)
- [New SEC Custody Rule Requirements For Advisors With Third-Party SLOA Authority](#)