

Compliance Connections- Form CRS

November 12, 2019

Foreside hosted **Kelli Haugh**, **Shawn Wilson** and **Kerry Rider** of Foreside on a dynamic conversation around Form CRS requirements including practical tips and best practices for preparing the summary, which goes into effect next year.

Investment advisors registered with the SEC will be required to deliver a new client relationship summary (Form CRS) to retail investors (i.e., individuals investing for personal, family, or household purposes) beginning July 2020. Advisors will be required to briefly disclose information on advisory services offered, fees, costs, conflicts of interests, disciplinary history, and standard of conduct. Form CRS will also require prescribed language intended to facilitate a dialogue between clients and their advisors regarding their individual financial circumstances. Form CRS can be filed as early as May 1, 2020 and is subject to certain delivery, recordkeeping, and formatting requirements.

To instantly listen to the replay, enter your information below.