

Guest Blog and Whitepaper: Prevent, Detect, Correct

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In today's blog, Brian Young, Vice President of Advisor Services at AdvisorAssist, shares their latest Whitepaper entitled '**Prevent, Detect, Correct, An Overview of Annual CCO Reports for RIAs**'. As a registered investment advisor, you are required to adopt and implement written policies and procedures that are reasonably designed to prevent, detect, and correct violations of the Investment Advisers Act of 1940 and/or the various state regulations. Furthermore, these policies and procedures are expected to be dynamic and evolving based on changes in regulations and your business activities, as well as constantly improving as your firm matures.

The whitepaper also includes an overview of an RIA's Annual CCO Report. This report is a formal document that is intended to memorialize your efforts to monitor activities related to regulatory compliance, test the efficacy of your procedures and controls, and seek opportunities for improvement.

[Read the Whitepaper Here](#)