



Variable Annuities and Variable Life Insurance Regulation (2 Volume Set)

Clifford Kirsch

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At a time when the SEC, FINRA and state authorities are putting increasing regulatory pressure on the securities industry, Variable Annuities & Variable Life Insurance Regulation remains today's most comprehensive and accessible guide to the many federal and state rules governing these instruments. Every key area is addressed to clarify your professional duties and compliance responsibilities, from product design, approval, administration and distribution, to marketing, inspections, and special investment products, including private placements and offshore investment products.

Additional material in the new second edition of Variable Annuities & Variable Life Insurance Regulation includes discussion of Rule 22e-3 under the Investment Company Act, which is intended to reduce the vulnerability of investors to the harmful effects of a run on the fund, and minimize the potential for disruption to the securities markets • the DOL regulations that require, effective for plan years beginning on or after November 1, 2011, plan administrators to provide certain disclosures to participants in participant-directed individual account plans regarding the plan's investment options and fees and expenses paid by participants and the plan • and Section 201(a) of the JOBS Act, which requires the SEC, within the ninety days following the JOBS Act's passage, to revise Rule 506 of Regulation D to permit offers and sales of securities through the use of a general solicitation, provided that all of the ultimate purchasers are accredited investors.

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