

A close-up photograph of a person's hand, wearing a blue shirt, dropping a gold-colored coin into a clear glass jar. The jar is already filled with several other coins. The background is dark and out of focus, showing a person in a suit. The text "MUTUAL FUND GUIDE FOR BEGINNERS" is overlaid at the bottom in white, bold, sans-serif font.

MUTUAL FUND GUIDE FOR BEGINNERS

201mutual Fund Guide

J. D. Roth



201mutual Fund Guide:

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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.

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