



An Asset Management Association For All

FOR IMMEDIATE RELEASE

Contact:

Allison Lovett

VP, Content Management | NICSA

Phone: 508-683-1614 | Email: alovett@nicsa.org

**NICSA OFFERS INDUSTRY GUIDE FOR
TRANSFER AGENT COMPLIANCE STANDARDS**

MCLEAN, VA –March 5, 2018. NICSA announced today the release of their *2018 Transfer Agent Compliance Guide*. The guide provides NICSA members with a comprehensive, educational resource of current compliance updates and standards as they relate to the transfer agent function within the asset management industry.

NICSA’s Transfer Agent Committee, which meets regularly to monitor and discuss trends in mutual fund transfer agent operations, compiled this centralized listing of laws, rules and regulations applicable to mutual fund transfer agents as a service to the transfer agency community. Reed Smith, a global law firm and a long-time NICSA member, vetted the citations identified by the Committee and authored Chapter introductions. The guide was published by Donnelley Financial Solutions, a leading provider of financial software and services, and active NICSA member.

Jim Fitzpatrick, President of NICSA, commented, “This effort is a wonderful example of NICSA’s mission statement in action, which is to provide a platform for industry participants to collaborate and advance leading practices. We’re very pleased to partner with two highly regarded NICSA members – Reed Smith LLP and Donnelley Financial Solutions – to bring this valuable benefit to our membership. The *NICSA Transfer Agent Compliance Guide* is an educational resource that leverages the breadth and depth of expertise within NICSA’s TA Committee. We’re hopeful that this tool will continue to aid the asset management community in building best practices according to the most up-to-date standards.”

Tim Johnson, the Reed Smith partner who spearheaded that firm’s involvement with the project, commented that “Reed Smith is honored to be able to support the mission and goals of NICSA through our contributions to this endeavor. The TA Compliance Guide has long been viewed by the transfer agency community as the definitive resource in this area, and we eagerly agreed to lend our expertise to the exercise of making the 2018 edition the best version to date.”

Eric Johnson, President of Global Investment Markets at Donnelley Financial Solutions, echoed the enthusiasm, “With Donnelley Financial Solution’s focus on regulatory disclosure and compliance in fund product creation and distribution and with our long history with NICSA, it was a natural for us to support the publication of the guide to highlight the importance we place on the TA community as clients for our software and services.”

The *2018 Edition* of the guide was launched at the NICSA’s Strategic Leadership Forum, held in Miami from February 28 to March 2. Attendees of the event were offered complimentary reference guides. On an ongoing basis, NICSA will offer its members hard copies of the reference guide at a discounted value. Complimentary access to a digital version of the guide will be offered to members later this year via a subscription service. Non-members can inquire about purchasing a copy of the *2018 NICSA Transfer Agent Compliance Guide* by sending an email to: info@nicso.org.

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ABOUT NICSA: NICSAs is a not-for-profit trade association that connects global asset management industry participants in order to develop, share, and advance leading practices. For over fifty years, the Association has offered a collective, timely view on evolving themes shaping the financial industry. NICSAs member companies operate in all segments of the financial industry and include fund complexes, broker dealers, custodian banks, transfer agents, and other professional service firms including audit, tax, legal, technology, marketing, telecom, and compliance. Deep expertise and unique perspectives come together in an open and collaborative environment to tackle the strategic implementation of the industry’s most vital issues. **For more information about NICSAs and how to become a member, contact 508-485-1500 or visit www.nicsa.org.**

ABOUT REED SMITH: Reed Smith is a dynamic international law firm, dedicated to helping clients move their businesses forward. Its long-standing relationships, international outlook and collaborative structure make it a go-to partner for speedy resolution of complex disputes, transactions, and regulatory matters. For further information, please visit reedsmith.com.

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