



# LOVELAND

Financial Services Consulting

Registered investment advisors and broker/dealers both face a myriad of securities regulations today. To understand them all is nearly impossible. To incorporate them all into daily business life is a challenge. To stay in compliance with them all is downright daunting. But not as daunting as the potential liability of not doing so. This is why someone like Keith Loveland is so invaluable.

### **Prevention is the best medicine.**

For more than 20 years, Keith Loveland has worked in the complex, ever-changing milieu of securities regulations. In that time, he has built an impressive track record for helping clients set up systems and procedures that prevent trouble before it happens.

### **Creating the architecture. Tightening the bolts.**

Keith Loveland can help your firm:

- Register as an Investment Advisor or Broker/Dealer
- Research all relevant compliance regulations
- Establish policies, procedures and compliance guides
- Develop representative-friendly supervisory systems
- Conduct a mock audit that helps you prepare for actual audits by the SEC or FINRA

- Provide continuing education for sales staff and management on diverse topics

In short, Mr. Loveland can help you be successful. Your firm will be better prepared for audits, avoid miscommunications that create unhappy clients and be better protected against the cost and stigma of lawsuits.

### **Reputations upheld.**

Being the subject of a regulatory investigation or enforcement action requires experienced counsel. Keith Loveland has assisted in the defense of individuals and firms in SEC, FINRA and state actions.

### **To learn more, contact:**

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Since 1979, Keith Loveland has been active in the financial services and securities industry as an attorney, author, teacher, expert witness, chairman of the investment committee for a mutual fund complex, chief operating officer of a securities broker-dealer, chief compliance officer for several broker-dealers and investment advisors and member of several boards of directors.

This eclectic background has helped him serve a diverse range of clients, from banks, broker-dealers, investment advisors and insurance companies, to closely held businesses and individual executives.

Mr. Loveland has a BA in Pre-Law & Philosophy from the University of Minnesota, Duluth, and a Juris Doctor from William Mitchell College of Law. He was admitted to law practice in Minnesota, and is also admitted to Federal District Court and Court of Appeals practice. As part of continuing education, he has studied at Harvard University Law School, receiving a Certificate in Securities Regulation, and recently graduated from the Katz Graduate School, University of Pittsburgh as a Certified Fiduciary Auditor.

He is listed in *Who's Who in Finance & Industry* and *Who's Who in American Law*.