

/ Presentation to the SEC's Investor Advisory Committee

Karen Barr, President & CEO

Investment Adviser Association

March 2, 2023



**INVESTMENT ADVISER
ASSOCIATION**



“ **Investment Adviser Association**

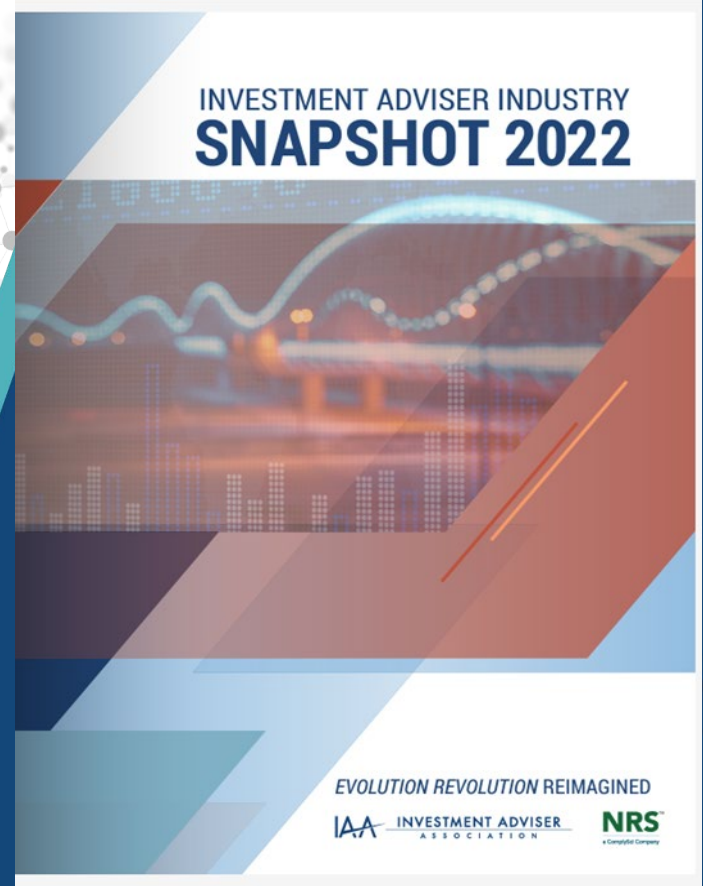
is a not-for-profit organization that has exclusively represented the interests of fiduciary investment adviser firms for more than eight decades.”



IAA Presentation

- Profile of Investment Advisers
- Oversight of Investment Advisers

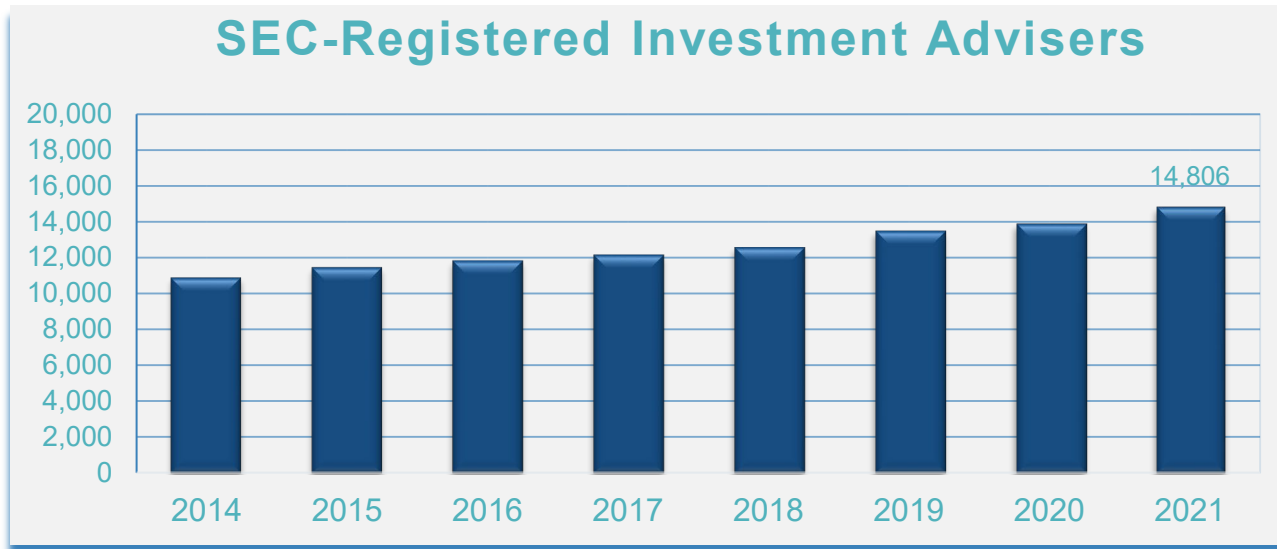
A statistical look at the almost 15,000 SEC - registered investment advisers, based on their Form ADV filings.



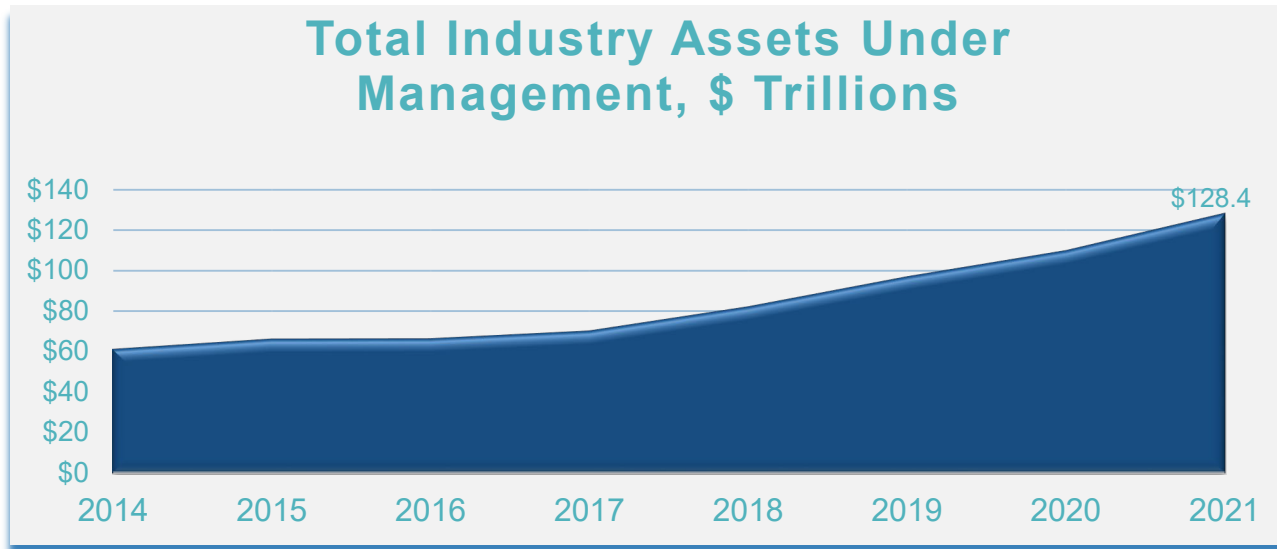
All data in this presentation is from Form ADV Part 1A unless otherwise noted.



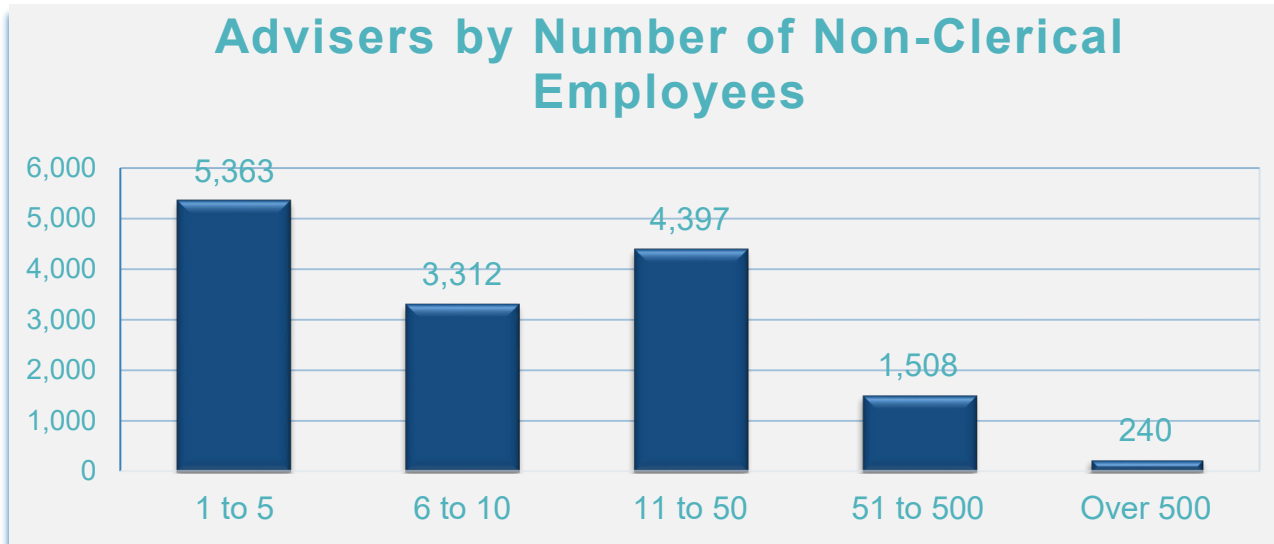
Number of Advisers Consistently Growing



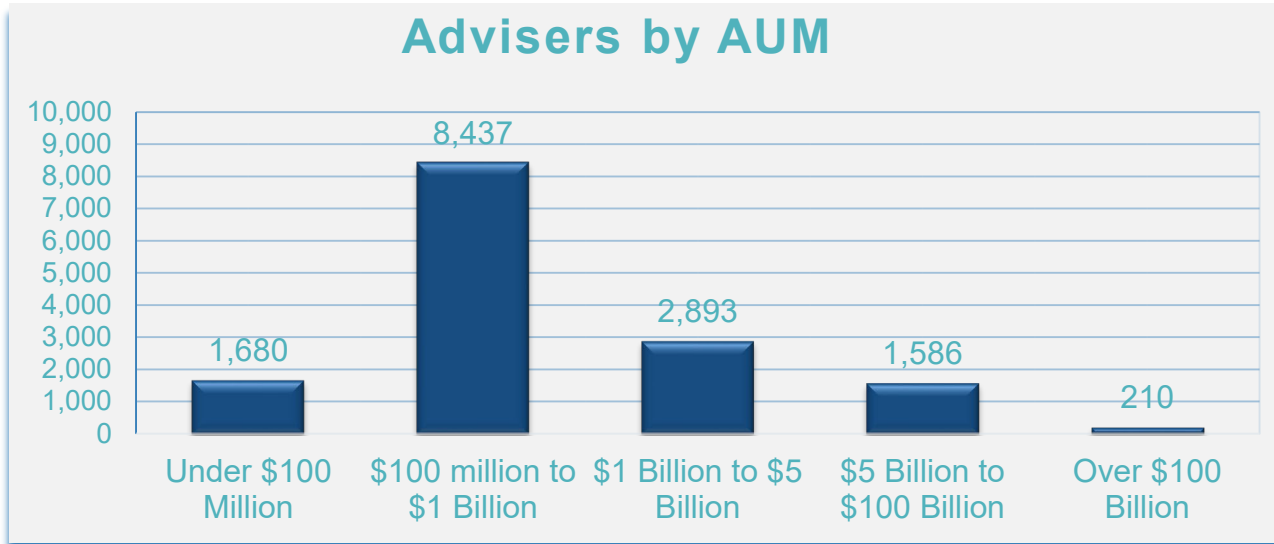
Aggregate AUM Consistently Growing



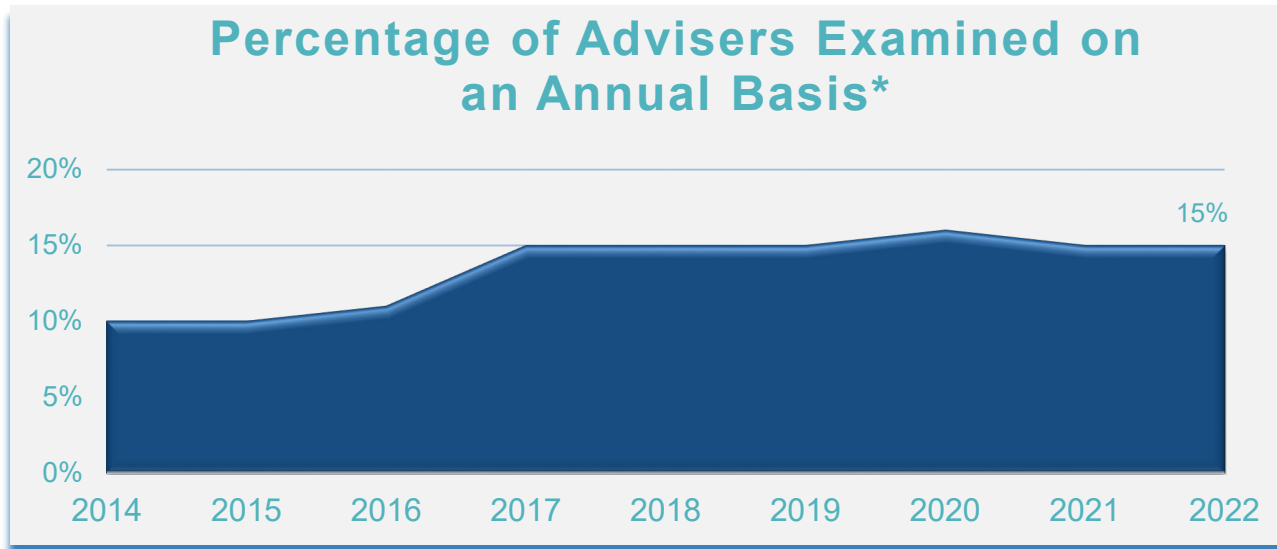
Most Advisers Are Small Businesses



Most Advisers Manage Less Than \$5B AUM



Adviser Examination Coverage Has Remained Steady



*Data derived from SEC Reports

Thank you

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