

## **Introduction to the 2025-2026 Edition**

This 2025-2026 edition (November 2025) of Regulation of Financial Planners, written by top securities law experts Thomas P. Lemke and Gerald T. Lins, provides up-to-date coverage of financial planning. It defines financial planning and covers related topics, including state and federal regulations, and civil and criminal liability, and SEC requirements. Highlights include:

- Updates to chapters 1, 3, 4, 6 and 7. Material reviewed throughout.