

## Investment Management Regulatory Update – April 2021

April 30, 2021 | Client Update

### **Rules and Regulations**

- SEC Staff Statement on Withdrawal and Modification of Staff Letters Related to Rulemaking on Use of Derivatives and Certain Other Transactions by Registered Funds and Business Development Companies

### **Industry Update**

- Acting SEC Chair Allison Herren Lee's Speech on the Importance of Fund Voting and Disclosure

### **Litigation**

- SEC Settles with Investment Adviser Principals Responsible for Alleged Misstatements and Omissions Regarding Due Diligence, Valuation, and Conflicts of Interest

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

**John G. Crowley**

+1 212 450 4550  
john.crowley@davispolk.com

**Lee Hochbaum**

+1 212 450 4736  
lee.hochbaum@davispolk.com

**Michael S. Hong**

+1 212 450 4048  
michael.hong@davispolk.com

**Sarah E. Kim**

+1 212 450 4408  
sarah.e.kim@davispolk.com

**Leor Landa**

+1 212 450 6160  
leor.landa@davispolk.com

**Gregory S. Rowland**

+1 212 450 4930  
gregory.rowland@davispolk.com

**Marc J. Tobak**

+1 212 450 3073  
marc.tobak@davispolk.com

**James H.R. Windels**

+1 212 450 4978  
james.windels@davispolk.com

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## Related materials

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