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SEC Study on the Fiduciary Duty of Investment Advisers and Broker-Dealers

January 24, 2011 | Client Update

On January 21, 2011, the Securities and Exchange Commission released its much anticipated staff study on the effectiveness of the standards of care required of broker-dealers and investment advisers providing personalized investment advice about securities to retail customers.

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.

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