

# Investment Management Regulatory Update - February 2019

February 28, 2019 | Client Update

## **Rules and Regulations**

- SEC Proposes Expansion of “Testing the Waters” Provisions

## **Industry Update**

- Commissioner Hester Peirce Provides Remarks at the University of Missouri School of Law
- SEC Chairman Clayton Delivers Speech on SEC Rulemaking in 2018, the Road Ahead and Challenges Posed by Brexit, the LIBOR Transition and Cybersecurity Risks

## **Litigation**

- U.S. District Court of New Jersey Dismisses Excessive-Fee Lawsuit Against BlackRock
-

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

**Nora M. Jordan**

+1 212 450 4684  
nora.jordan@davispolk.com

**Leor Landa**

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

**Gregory S. Rowland**

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

**Matthew R. Silver**

+1 212 450 3047  
matthew.silver@davispolk.com

**Amelia T.R. Starr**

+1 212 450 4516  
amelia.starr@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

*This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's privacy notice for further details.*

## Related materials

[Read the full update](#)