

Investment Management Regulatory Update - September 2018

September 28, 2018 | Client Update

Rules and Regulations

- SEC Withdraws Two No-Action Letters Ahead of November Roundtable

Industry Update

- Statement on Investor Roundtables Regarding Standards of Conduct for Investment Professionals Rulemaking
- SEC Chairman Gives Remarks on Capital Formation

Litigation

- Regulators Step Up Enforcement on Crypto Firms
- SEC Charges Four Transamerica Entities for Violations Related to Errors in Quantitative Investment Models
- SEC Resolves FCPA Allegations Against U.S.-Based Investment Firm for Bribery of Qaddafi-era Libyan State-Owned Enterprises
- SEC Settles with Massachusetts Financial Services for \$1.9M for Advertising Misstatements
- SEC Settles with VSS Fund Management LLC and Its General Partner for Failure to Disclose Valuation Increase to Exiting Limited Partners in Buy-out

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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