Davis Polk

Private Equity Regulatory Update - August 2018

August 30, 2018 | Client Update

Rules and Regulations

- SEC Rejects Proposed Rule Change for Bitcoin ETF

Industry Update

- Commissioner Hester M. Peirce Reacts to SEC Regulation of Investment Professionals

Litigation

- SEC Charges Investment Adviser With Mispricing Cross Trades Between Clients
- SEC Charges Two Investment Advisers and an Exempt Reporting Adviser for Pay-to-Play Violations
- SEC Charges New York-based Investment Adviser for Failing to Timely Distribute Annual Audited Financial Statements
- SEC Files Lawsuit Against Temenos Advisory Inc. and its Chief Executive Officer
- SEC Settles Charges with Beverly Hills Wealth Management and Majority Owner for Improper Fees and Material Misstatements
- SEC Charges U.S. Congressman Christopher Collins and Others with Insider Trading

SEC Charges Investment Adviser for Undisclosed Conflict 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

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

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

Related materials

Read the full update