

# Investment Management 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
- SEC Launches New Fund Disclosure Website

## **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

**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

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