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Investment Management Regulatory Update - December 2017

December 21, 2017 | Client Update

Rules and Regulations

- CFTC Proposes to Clarify the Treatment of Leveraged, Margined, or Financed Retail Virtual Currency Transactions

Industry Update

- SEC Announces Updates to Form N-PORT Filing Requirements

Litigation

- SEC Charges Investment Adviser and Principals for Undisclosed Conflicted Transactions
- SEC Charges Adviser with Misrepresentations in Offering Documents and Misappropriation of Investor Funds
- Large Broker-Dealer Settles with FINRA for Delivery System Failures Relating to ETF Prospectuses

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