Davis Polk

Investment Management Regulatory Update - April 2018

April 30, 2018 | Client Update

Rules and Regulations

- Spending Bill Includes Reforms Impacting Business Development Companies
- SEC Proposes Enhanced Standards for Advice to Retail Investors

Industry Update

- Dalia Blass Delivers Keynote Address at ICI 2018 Mutual Funds & Investment Management Conference
- Mutual Fund Firms Agree to Active Share Disclosure
- OCIE Issues Risk Alert on Most Frequent Advisory Fee and Expense Compliance Issues Identified in Investment Adviser Examinations

Litigation

- Voya Advisers Settle SEC Charges Relating to Undisclosed Securities Lending Conflict

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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