

Investment Management Regulatory Update - May 2018

May 31, 2018 | Client Update

Rules and Regulations

- SEC Proposes Rule Change to Address Auditor Independence with Respect to Certain Loans or Debtor-Creditor Relationships

Industry Update

- SEC Enforcement Division Issues FAQs for Share Class Selection Disclosure
- SEC Launches Investor Protection Search Tool
- Dalia Blass Remarks at the 2018 PLI Investment Management Institute
- Jay Clayton: The Evolving Market for Retail Investment Services and Forward-Looking Regulation – Adding Clarity and Investor Protection While Ensuring Access and Choice

Litigation

- SEC Charges Investment Adviser for Failing to Disclose Revenue-Sharing Arrangement with Service Provider to Portfolio Companies
- SEC Charges Investment Adviser for Fraudulent Valuations and Insider Trading
- SEC Sues Investment Adviser, CEO, Portfolio Manager, and Trader for Scheme to Inflate Asset Values; U.S. Attorneys' Office Pursues Criminal Charges

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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