

Investment Management Regulatory Update - October 2017

October 31, 2017 | Client Update

Industry Update

- SEC Announces Cybersecurity Enforcement Initiatives
- SEC Chairman Issues Statement on Cybersecurity
- ESG in Private Equity: What Every GP Needs to Know About Public Pension Fund Requirements

Litigation

- SEC Charges Adviser with Improperly Recommending Higher Fee Mutual Funds
 - SEC Charges Large Financial Institution With Hidden Fee Markups and Disclosure Failures
 - SEC Charges Private Equity Fund Adviser and Principal for Improper Allocation of Expenses
 - SEC Charges Investment Adviser with Disclosure Failures Relating to 'Broken Deal' Expenses
 - California State Court Holds ETF Shareholders Subject to Section 11 Tracing Requirement
 - SEC Brings Action Against Two Companies Related to Initial Coin Offerings
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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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Related materials

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