

Investment Management Regulatory Update - September 2017

September 29, 2017 | Client Update

Industry Update

- SEC Staff Issues Information Update on Compliance with Form ADV Amendments for Other-Than-Annual Amendments
- SEC Grants No-Action Relief to Registered Closed-End Management Investment Companies Filing Rule 486(b) Post-Effective Amendments to Registration Statements
- OCIE Issues Risk Alert on Common Advertising Rule Compliance Issues Identified in Investment Adviser Examinations
- So You Want to Buy a Stake in a Private Equity Manager?

Litigation

- Eighth Circuit Affirms Judgment Finding that Fund-of-Funds Shareholder Lacks Standing to Challenge Fees Paid by Underlying Funds
- SEC Charges Chief Compliance Officer for Failure to Verify Accuracy of Securities Filings
- SEC Charges Adviser for Improper Allocation of Consulting and Other Fees
- SEC Charges Hedge Fund with Failing to Prevent Insider Trading

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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