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Investment Management Regulatory Update - May 2010

May 10, 2010 | Client Update

Breaking News on Enforcement

– Side Pocket Arrangements, Valuation Under SEC Investigation

Litigation

– Court Rules Whistleblower Protections of the Sarbanes-Oxley Act Applicable to Employees of Privately Held Mutual Fund Advisers
– Charles Schwab Charged with Investment Company Act Violation
– SEC Censures and Fines Adviser for Due Diligence Lapses

Industry Update

– SEC's Donohue Discusses Key Regulatory Initiatives of the Division of Investment Management
– New Developments Regarding Pay-to-Play Practices
– SEC and Other Federal Regulators Release Online Form Builder for Model Consumer Privacy Notices

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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