Davis Polk

Investment Management Regulatory Update - November 2011

November 18, 2011 | Client Update

SEC Rules and Regulations

- SEC Adopts Private Fund Systemic Risk Reporting Rule
- SEC Proposes Rules on the Registration of Security-Based Swap Dealers and Major Security-Based Swap Participants

Industry Update

- FSOC Issues Proposed Rules on Designation of Systemically Important Nonbank Financial Companies
- CFTC Adopts Final Position Limits for 28 Physical Commodity Futures, Options and Swaps
- FINRA Proposes New Rule 5123 Regarding Disclosure and Filing Obligations in Private Placements in Which FINRA Members Participate
- FINRA Releases Regulatory Notice on ETF Advertising Regulation

Litigation

- SEC Charges Former Private Equity Firm Partner with Misappropriation of Advisory Firm’s Investment Opportunity

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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