

Investment Management Regulatory Update - September 2012

September 26, 2012 | Client Update

SEC Rules and Regulations

- SEC Issues Proposal to Eliminate General Solicitation Ban
- SEC Staff Responds to a Question About Preserving Client Anonymity on Item 7.B. of Form ADV

Industry Update

- CFTC Issues Guidance on CPO/CTA Registration and Compliance Obligations
- Statement by SEC Chairman on Money Market Reform
- SEC Announces its First Award under its Whistleblower Program
- House Passes Bill Seeking to Tighten SEC and CFTC Cost-Benefit Analysis

Litigation

- Second Circuit Relaxes Standard to Prove Aiding and Abetting Liability in SEC Enforcement Actions
- SEC Announces Deferred Prosecution Agreement with Investment Fund

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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