Davis Polk

Investment Management Regulatory Update - July 2013

July 18, 2013 | Client Update

SEC Rules and Regulations

- SEC Adopts Rules to Eliminate General Solicitation Ban and Proposes other Private Offering Reforms Mandated by JOBS Act
- SEC Grants No-Action Relief to Adviser to Allow Subadvisers to Deliver Brochure Documents to Adviser Instead of Clients
- Reminder Regarding Changes to Form 13F Filing Process

Industry Update

- European Parliament Rejects Proposal to Cap UCITS Managers' Bonuses at 100% of Fixed Salary

Litigation

- D.C. Circuit Upholds Dismissal of ICI and Chamber of Commerce Challenge to CFTC Amendments Affecting Registered Investment Companies
- SEC Issues Second-Ever Whistleblower Award

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.

John G. Crowley
+1 212 450 4550
john.crowley@davispolk.com

Nora M. Jordan
+1 212 450 4684
nora.jordan@davispolk.com

Leor Landa
+1 212 450 6160
leor.landa@davispolk.com

Gregory S. Rowland
+1 212 450 4930
gregory.rowland@davispolk.com

Related materials

[Read the full update]