

Investment Management Regulatory Update - September 2013

September 26, 2013 | Client Update

SEC Rules and Regulations

- SEC Staff Responds to Questions About Form PF
- SEC, FINRA and CFTC Release Joint Observations Regarding Business Continuity Plans
- SEC Staff Expands Relief for “Privately Offered Securities” Under the Custody Rule

Industry Update

- CFTC Adopts Final Harmonization Rule for CPOs of Registered Investment Companies

Litigation

- SEC Charges Investment Adviser and Its Former Owner with Misleading Mutual Fund Directors

Notes from Europe: European Regulatory Developments

- The Appointment of Delegates Under AIFMD

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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