

Investment Management Regulatory Update - October 2014

October 20, 2014 | Client Update

Industry Update

- IM Director Discusses Changing Regulatory Landscape for Hedge Fund Managers
- CFTC Grants No-Action Relief for Certain CPOs of Pools with Wholly-Owned Trading Subsidiaries
- CFTC Grants No-Action Relief to Permit Additional Third-Party Recordkeepers in Commission Regulations 4.7(b)(4) and 4.23(c)
- Regulators Re-Propose Uncleared Swap Margin, Capital and Segregation Rules for Swap Entities
- FinCEN Publishes Proposed Rule to Enhance Customer Due Diligence Requirements for Financial Institutions

Litigation

- SEC Brings Four Enforcement Actions for Undisclosed Principal Transactions and Other Violations
- SEC Charges Barclays with Compliance Failures after Acquiring Lehman
- SEC Charges Wells Fargo with Failing to Maintain Adequate Insider Trading Controls and Withholding and Falsifying Documents

Notes from Europe: European Regulatory Developments

- European Regulatory Developments Regarding Remuneration in the Financial Services Industry

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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