

Investment Management Regulatory Update - November 2014

November 19, 2014 | Client Update

SEC Rules and Regulations

- SEC Issues Preliminary Denial to Exemptive Relief Applications for Operation of Non-Transparent Active ETFs

Industry Update

- CFTC Announces Self-Executing Registration No-Action Relief for Certain Delegating CPOs
- SEC Investor Advisory Committee Offers Recommendations for Accredited Investor Definition
- IM Director Discusses Risk Monitoring Efforts and Alternative Mutual Funds
- IM Guidance Update Clarifies Mutual Fund Obligations for Mixed and Shared Funding Orders
- IM Guidance Update Advises Certain Investment Companies on the Presentation of Their Consolidated Financial Statements

Litigation

- SEC Announces Charges Against Investment Manager and Senior Officials for Violations of Custody Rule

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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