

Investment Management Regulatory Update - November 2015

November 24, 2015 | Client Update

SEC Rules and Regulations

- SEC Grants No-Action Relief to BlackRock Funds for Filing Post-Effective Amendments to Their Registration Statements
- SEC Grants No-Action Relief Relating to Bank Collective Trusts' Investment in Insurance Company Separate Accounts Relying on the Section 3(c)(11) Exemption from the Investment Company Act

Industry Update

- Office of Compliance Inspections and Examinations Issues NEP Risk Alert on Outsourced CCOs
- SEC Chair Mary Jo White Discusses Regulation of Private Fund Advisers
- SEC Chief of Staff Andrew J. Donohue Addresses NRS Conference on the Role of Compliance Professionals
- SEC Releases Private Funds Statistics Report
- CFTC Responds to FAQs Regarding Form CPO-PQR
- ILPA Proposes Fee Reporting Template for Public Comment

Litigation

- SEC Charges UBS Advisory Firms for Failing to Disclose Change in Investment Strategy
- SEC Charges Affiliated Broker-Dealer and Investment Adviser with Failing to Prevent Misuse of Material Nonpublic Information

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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