Davis Polk

Investment Management Regulatory Update - December 2015

December 21, 2015 | Client Update

SEC Rules and Regulations

- SEC Staff Grants No-Action Relief Relating to Rule 482 Requirements as Applied to Performance Information Provided by Certain Non-ERISA Retirement Plans
- SEC Proposes New Rule Governing the Use of Derivatives by Registered Investment Companies

Industry Update

- Director of Enforcement Addresses National Society of Compliance Professionals

Litigation

- SEC Charges Private Equity Advisers with Improper Allocation of Expenses
- SEC Charges Private Equity Firm and Four Executives with Failing to Disclose Conflicts of Interests
- SEC Charges Virtus Investment Advisers for Falsely Advertising Performance Claims
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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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