Davis Polk

Investment Management Regulatory Update - March 2016

March 29, 2016 | Client Update

SEC Rules and Regulations

- SEC Extends Comment Period on Proposed Rule and Concept Release on Transfer Agent Regulations
- SEC Staff Grants No-Action Relief Allowing Use of Rule 486(b) to File Post-Effective Amendments to Closed-End Fund’s Registration Statement

Industry Update

- SEC Division of Investment Management Issues Guidance on Disclosure by Registered Investment Companies Relating to Current Market Conditions
- Interagency Volcker Rule Guidance on Capital Treatment of Banking Entity Investments in TruPS CDOs
- SEC Director Grim Addresses PLI Investment Management Institute
- SEC Chair White Addresses “SEC Speaks” Program

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.

John G. Crowley
+1 212 450 4550
john.crowley@davispolk.com

Nora M. Jordan
+1 212 450 4684
nora.jordan@davispolk.com

Leor Landa
+1 212 450 6160
leor.landa@davispolk.com

Gregory S. Rowland
+1 212 450 4930
gregory.rowland@davispolk.com

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