

Investment Management Regulatory Update – July 2016

July 26, 2016 | Client Update

SEC Rules and Regulations

- SEC Issues Proposed Rule Regarding Adviser Business Continuity and Transition Plans

Industry Update

- SEC Division of Investment Management Publishes Business Continuity Guidance for Registered Investment Companies
- Financial Stability Board Releases Proposed Policy Recommendations to Address Structural Vulnerabilities from Asset Management Activities
- SEC's Office of the Investor Advocate Releases Report on Objectives for Fiscal Year 2017

Litigation

- Private Fund Administrator Settles Charges for Gatekeeper Failures

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

This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's privacy notice for further details.

Related materials

[Read the full update](#)