Davis Polk

# 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.**

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## Related materials

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