Davis Polk

Investment Management Regulatory Update - November 2016

November 22, 2016 | Client Update

Industry Update

- OCIE Director Wyatt Addresses National Society of Compliance Professionals 2016 National Conference
- SEC Announces Enforcement Results for FY 2016
- SEC Releases Statistics Reports on Private Funds and Money Market Funds
- SEC Chief of Staff Speaks at National Society of Compliance Professionals 2016 National Conference
- OCIE Issues Risk Alert on Whistleblower Rule Compliance

Litigation

- California Federal Court Dismisses Shareholder Derivative Suit Against Yahoo Regarding its Investment Company Status
- Mutual Fund Adviser Settles with SEC for Fair Valuation and Disclosure 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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