

Investment Management Regulatory Update - June 2017

June 26, 2017 | Client Update

Rules and Regulations

- SEC Adopts Technical Amendments to Form ADV and Form ADV-W to Reflect Enactment of a Wyoming State Law Regulating Investment Advisers
- House Approves Revised Financial CHOICE Act

Industry Update

- SEC Releases Statistics Report on Private Funds
- SEC Chairman Issues Public Statement Seeking Comments on DOL Fiduciary Rule
- DOL Fiduciary Rule Comes into Effect

Litigation

- SEC Charges Brokerage Firm with AML Violations
- Supreme Court Rules that SEC Disgorgement Actions Are Subject to Five-Year Statute of Limitations

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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