

Investment Management Regulatory Update - July 2018

July 31, 2018 | Client Update

Rules and Regulations

- SEC Proposes New ETF Rule
- SEC Adopts Inline XBRL for Tagged Data
- SEC Adopts Amendments to the Liquidity Disclosure Rule
- SEC Proposes Whistleblower Rule Amendments

Industry Update

- OCIE Issues Risk Alert Regarding Investment Advisers and “Best Execution” Compliance Issues
- SEC Releases Strategic Plan for Fiscal Years 2018–2022

Litigation

- SEC Charges New York-based Investment Adviser for Failing to Disclose Conflicts of Interest Related to Compensation Obtained from Third Parties
- SEC Charges Fund Managers for Failing to Offset Portfolio Company Fees, Disclosures Regarding Accelerated Fees
- SEC Charges a Financial Institution with Failure to Detect or Prevent Misappropriation of Client Funds

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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