

## Investment Management Regulatory Update - September 2018

September 28, 2018 | Client Update

### Rules and Regulations

- SEC Withdraws Two No-Action Letters Ahead of November Roundtable

### Industry Update

- Statement on Investor Roundtables Regarding Standards of Conduct for Investment Professionals Rulemaking
- SEC Chairman Gives Remarks on Capital Formation

### Litigation

- Regulators Step Up Enforcement on Crypto Firms
- SEC Charges Four Transamerica Entities for Violations Related to Errors in Quantitative Investment Models
- SEC Resolves FCPA Allegations Against U.S.-Based Investment Firm for Bribery of Qaddafi-era Libyan State-Owned Enterprises
- SEC Settles with Massachusetts Financial Services for \$1.9M for Advertising Misstatements
- SEC Settles with VSS Fund Management LLC and Its General Partner for Failure to Disclose Valuation Increase to Exiting Limited Partners in Buy-out

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

**Lee Hochbaum**

+1 212 450 4736  
lee.hochbaum@davispolk.com

**Michael S. Hong**

+1 212 450 4048  
michael.hong@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

**Matthew R. Silver**

+1 212 450 3047  
matthew.silver@davispolk.com

**Amelia T.R. Starr**

+1 212 450 4516  
amelia.starr@davispolk.com

**Marc J. Tobak**

+1 212 450 3073  
marc.tobak@davispolk.com

**James H.R. Windels**

+1 212 450 4978  
james.windels@davispolk.com

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## Related materials

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