

Investment Management Regulatory Update - August 2018

August 30, 2018 | Client Update

Rules and Regulations

- SEC Rejects Proposed Rule Change for Bitcoin ETF

Industry Update

- Commissioner Hester M. Peirce Reacts to SEC Regulation of Investment Professionals
- SEC Launches New Fund Disclosure Website

Litigation

- SEC Charges Investment Adviser With Mispricing Cross Trades Between Clients
- SEC Charges Two Investment Advisers and an Exempt Reporting Adviser for Pay-to-Play Violations
- SEC Charges New York-based Investment Adviser for Failing to Timely Distribute Annual Audited Financial Statements
- SEC Files Lawsuit Against Temenos Advisory Inc. and its Chief Executive Officer
- SEC Settles Charges with Beverly Hills Wealth Management and Majority Owner for Improper Fees and Material Misstatements
- SEC Charges U.S. Congressman Christopher Collins and Others with Insider Trading
- SEC Charges Investment Adviser for Undisclosed Conflict of Interest

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