Davis Polk

Investment Management Regulatory Update - March 2018

March 30, 2018 | Client Update

Rules and Regulations

- SEC Proposes Amendments to Liquidity Disclosure Requirements
- SEC Staff Releases Updated FAQs on Liquidity Risk Management Reforms

Industry Update

- SEC Announces National Compliance Outreach Seminar for Investment Companies and Investment Advisers

Litigation

- SEC Announces Self-Reporting Initiative for Rule 12b-1 Fee Disclosures
- United States Pursues False Claims Act Suit Against Private Equity Firm for Portfolio Company's Alleged Prescription Kickback Scheme
- SEC Charges Ameriprise with Overcharging Retirement Account Customers for Mutual Fund Shares

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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