

Investment Management Regulatory Update - March 2011

March 15, 2011 | Client Update

SEC Rules and Regulations

- Federal Agencies Propose Interagency Rule Impacting Incentive-Based Compensation Arrangements of Investment Advisers

Industry Update

- CFTC Proposes Amendments to Regulations for CPOs and CTAs
- Federal Reserve Issues Final Regulations Implementing Volcker Rule Conformance Period

Litigation

- SEC and U.S. Attorney Bring Charges in Expert-Network Insider Trading Case
- SEC Settles with Investment Adviser over IPO Allocations
- SEC Charges AXA Rosenberg with Securities Fraud for Concealing Quantitative Investment Modeling Error

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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