

Investment Management Regulatory Update - April 2011

April 15, 2011 | Client Update

Breaking News on Dodd-Frank Private Adviser Registration Deadline

SEC to Consider Delaying Dodd-Frank Private Adviser Registration Deadline Until First Quarter 2012

SEC Rules and Regulations

SEC Proposes Amendments to Remove Credit Rating References to Certain Investment Company Act Rules and Forms

Industry Update

New Form SLT Reporting Requirements Applicable to Funds and Investment Managers Proposed by U.S. Department of Treasury

SEC's Division of Investment Management Issues Responses to Questions Concerning Part 2 of Form ADV

SEC's Division of Investment Management Answers Questions Concerning Pay-to-Play Rule

SEC to Bring Cases Against Mutual Funds for Inappropriate Fees

Litigation

SEC Charges Hedge Fund Manager with Securities Fraud for Misappropriating "Side Pocketed" Assets

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