

Investment Management Regulatory Update - May 2013

May 16, 2013 | Client Update

SEC Rules and Regulations

- SEC Staff Responds to Questions About Form PF
- SEC Requests Information to Inform Consideration of Uniform Fiduciary Standard for Broker-Dealers and Investment Advisers

Industry Update

- SEC Official Discusses Broker-Dealer Registration Issues for Private Fund Advisers
- NFA Amends Rules to Simplify Reporting Requirements for CPO and CTA Members

Litigation

- SEC Charges Former Public Company Employee in Expert-Network Insider Trading Case
- SEC Charges Mutual Fund Directors and Service Providers for Deficiencies Relating to Investment Advisory Contract Approvals

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

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

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