

Investment Management Regulatory Update - June 2013

June 24, 2013 | Client Update

SEC Rules and Regulations

- SEC Proposes Amendments to Money Market Fund Rules
- SEC Proposes Rules to Regulate Cross-Border Security-Based Swap Activities
- IM Guidance Update Emphasizes Compliance with Exemptive Orders

Industry Update

- ESMA Approves Cooperation Agreement Between EU Securities Regulators and SEC
- CFTC Adopts Rules on Swap Execution Facilities and Minimum Block Trade Sizes
- CFTC Issues No-Action Relief from CPO Registration for Certain Delegating General Partners

Litigation

- SEC Charges Investment Adviser with Improperly Reallocating Trades Among Client Accounts

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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