

## Investment Management Regulatory Update - September 2013

September 26, 2013 | Client Update

### **SEC Rules and Regulations**

- SEC Staff Responds to Questions About Form PF
- SEC, FINRA and CFTC Release Joint Observations Regarding Business Continuity Plans
- SEC Staff Expands Relief for “Privately Offered Securities” Under the Custody Rule

### **Industry Update**

- CFTC Adopts Final Harmonization Rule for CPOs of Registered Investment Companies

### **Litigation**

- SEC Charges Investment Adviser and Its Former Owner with Misleading Mutual Fund Directors

### **Notes from Europe: European Regulatory Developments**

- The Appointment of Delegates Under AIFMD

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

---

*This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's privacy notice for further details.*

## Related materials

[Read the full update](#)