

Investment Management Regulatory Update - April 2014

April 29, 2014 | Client Update

SEC Rules and Regulations

- SEC Grants No-Action Relief to Permit Fund to Implement Sub-advisory Arrangement Prior to Shareholder Approval

Industry Update

- IM Director Discusses Recent Developments and Rulemaking Initiatives
- IM Guidance Update on Testimonial Rule and Social Media

Litigation

- Supreme Court Extends Whistleblower Protection to Mutual Fund Service Providers

Notes from Europe: European Regulatory Developments

- New Pan-European Market Abuse Legislation
- UCITS V Approved by European Parliament
- European Parliament Passes the Second Markets in Financial Instruments Directive
- UK: AIFMD Reporting Obligations

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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