

Investment Management Regulatory Update - March 2015

March 26, 2015 | Client Update

SEC Rules and Regulations

- SEC Extends Rule 482 No-Action Position to Certain Information Furnished to Participants and Beneficiaries in Certain Non-ERISA Retirement Savings Plans

Industry Update

- Interagency Volcker Rule FAQ Addresses Scope of U.S. Marketing Restrictions under SOTUS Covered Fund Exemption
- IM Guidance Update regarding Gifts and Entertainment
- SEC Commissioner Discusses Prudential Regulators and Mutual Funds at 2015 Mutual Funds and Investment Management Conference
- Co-Chief of Asset Management Unit Discusses Enforcement Priorities, Conflicts of Interest at IA Compliance Conference
- SEC Commissioner Opposes Use of Bad Actor Disqualifications as Enforcement Tool

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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