

Investment Management Regulatory Update - September 2016

September 28, 2016 | Client Update

SEC Rules and Regulations

- SEC Issues Notices of Intent to Issue Orders for Approved FINRA and MSRB Pay-to-Play Rules
- SEC Adopts Amendments to Form ADV and Advisers Act Rules

Litigation

- Investment Advisers Charged with Advertising False Performance Claims
- SEC Actions Focus on Private Equity Fees, Conflicts and Supervision
- Federal Court Rules in Favor of Adviser in Section 36(b) “Manager of Managers” Excessive Fee Suit

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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