Davis Polk

Investment Management Regulatory Update - November 2013

November 26, 2013 | Client Update

SEC Rules and Regulations

- IM Guidance Update Clarifies Stance on Aggregating the Investments of Certain Investors Across Funds to Satisfy Qualified Client Standard
- SEC Extends No-Action Relief Regarding Compliance with the Independent Accountant Requirements Under the Custody Rule
- IM Guidance Update Addresses Status of Investment Advisers Providing Services “at Cost” or for No Compensation

Industry Update

- SEC’s Division of Investment Management Answers Questions Concerning Form 13F
- Clarifying Amendments to Rule Prohibiting Loans by Commodity Pools to CPOs Go Effective

Notes from Europe: European Regulatory Developments

- Notification of Voting Rights in EU Issuers

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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