

Investment Management Update – Q1 2024

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In This Update

Covering legal developments and regulatory news for funds, their advisers, and industry participants for the quarter ended March 31.

RULEMAKING AND GUIDANCE

- SEC Adopts Reforms Relating to Investment Advisers Operating Exclusively Through the Internet
- FinCEN Proposes New Investment Adviser AML Rule
- SEC Adopts Amendments to Enhance Private Fund Reporting
- SEC Releases New Guidance on Tailored Shareholder Reports

LITIGATION AND ENFORCEMENT

- SEC Charges Van Eck Associates for Failing to Disclose Influencer's Role in Connection With ETF Launch

SEC AND SRO NEWS

- SEC Announces Departure of William Birdthistle; Natasha Vij Greiner Named Director of the Division of Investment Management

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alternative products, and counseling regarding securities regulation, enforcement and litigation. Contact any of our professionals if you have questions about this update or any other investment management issues.

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