

Investment Management Update – Q1 2024

WRITTEN BY

John M. Ford | Genna Garver | Joseph V. Del Raso | John P. Falco | Terrance James Reilly | Joseph T. Cataldo | Theodore D. Edwards | DeJuawn "DJ" Griffin | Matthew A. Ramsey | Matthew Russell Morris | Taylor M. Williams | Barbara H. Grugan | Joseph A. Goldman

RELATED PROFESSIONALS

Julia D. Corelli | Stephanie Pindyck Costantino | John M. Ford | Genna Garver | Paul A. Steffens

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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companies and registered investment advisers, representation of alternative investment funds and investors in 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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