

# 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

---

## Read This Issue

*Troutman Pepper's Investment Management Group serves a wide range of businesses in the investment management community. Our practice involves three general areas: representation of registered investment 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.*

## **RELATED INDUSTRIES + PRACTICES**

- [Investment Funds + Investment Management Services](#)