

Investment Management Update – Q3 2024

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LITIGATION AND ENFORCEMENT

- [SEC Charges Registered Adviser for Compliance Failures in Handling of Nonpublic Information](#)
- [SEC Charges Registered Adviser With Custody Rule and Liability Disclaimer Violations](#)
- [SEC Charges Registered Advisory Firm With Cross-Trading Violations](#)
- [Advisory Firm Charged With Recordkeeping Violations, Avoids Civil Penalty Because of Self-Reporting, Substantial Cooperation, and Prompt Remediation](#)
- [SEC Charges Advisory Firm With Violating Whistleblower Protection Rule](#)

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- [Keith E. Cassidy Named Interim Acting Director of the Division of Examinations](#)
- [Richard R. Best Named Senior Advisor to the Director of the Division of Examinations](#)

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