

Investment Management Update – Q4 2023

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In This Update

Covering legal developments and regulatory news for funds, their advisers, and industry participants for the period ended December 2023.

RULEMAKING AND GUIDANCE

- From the Chief Accountant, Letter to CFOs
- SEC Division of Examinations Announces 2024 Priorities
- SEC Adopts Amendments to Rules Governing Beneficial Ownership Reporting
- SEC Adopts Rule Enhancements to Prevent Misleading or Deceptive Investment Fund Names

SEC AND SRO NEWS

- Mark Uyeda Sworn in for Second Term as SEC Commissioner

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