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Asset Management ADVocate

SEC's Use of Trading Suspensions During the COVID-19 Pandemic and Considerations for Issuers and Broker-Dealers

The SEC has the authority under the Securities Exchange Act of 1934 to suspend trading in a given security if it deems it necessary for the public's interest. It has been exercising its authority to suspend trading with increased frequency for potentially false and misleading statements made in connection with the COVID-19 pandemic. The following update addresses these developments and their implications.

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Asset Management ADVocate

The Asset Management ADVocate provides unique analysis and insight into legal developments affecting asset managers in the United States.

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