**CLE Materials**

****ESG Investing Under the Federal Securities Laws Conference****

**October 28, 2022**

****SEC Disclosure and Rulemaking Initiatives****

**Materials:**

* [SEC Issues Proposed Rule Amendments Regarding Fund Naming Conventions](https://www.dechert.com/knowledge/onpoint/2022/7/sec-issues-proposed-rule-amendments-regarding-fund-naming-conven.html) (July 8, 2022)
* [JPMorgan Asset Management comment letter on Fund Names](https://www.sec.gov/comments/s7-16-22/s71622-20136188-307163.pdf) (August 2022)
* [Dechert LLP Comment Letter - Investment Company Names Proposal (File No. S7-16-22)](https://www.dechert.com/content/dam/dechert%20files/knowledge/News/2022/8/Dechert-LLP-Comment-Letter-Investment-Company-Names-Proposal-%28File-No.S7-16-22%29.pdf) (August 2022)
* [SEC Issues Rule Proposal Related to Certain Investment Advisers’ and Funds’ Disclosures About ESG Investment Practices](https://www.dechert.com/knowledge/onpoint/2022/6/sec-issues-rule-proposal-related-to-certain-investment-advisers-.html) (June 30, 2022)
* [JPMorgan Asset Management comment letter on ESG fund disclosures](https://www.sec.gov/comments/s7-17-22/s71722-20136187-307162.pdf) (August 2022)
* [Dechert LLP Comment Letter - ESG Proposal (File No. S7-17-22)](https://www.dechert.com/content/dam/dechert%20files/knowledge/News/2022/8/Dechert-LLP-Comment-Letter--ESG-Proposal-%28File-No.-S7-17-22%29.pdf),” (August 2022)
* [SEC Proposes Comprehensive Climate-Related Disclosure Rules](https://info.dechert.com/e/x02vpwvv73sh7q/6539dcc3-62e1-470e-a4ec-2fa66a9344a1) (March 29, 2022)
* [SEC Division of Examinations Issues Risk Alert Regarding ESG Investing](https://info.dechert.com/e/ptumws7qfjsdbq/6539dcc3-62e1-470e-a4ec-2fa66a9344a1) (April 22, 2021)
* [Dechert on ESG: A Practical Guide for Asset Managers — Utilizing Principles and Frameworks for ESG Reporting and Disclosure](https://info.dechert.com/e/wku9q8hsog0ba/6539dcc3-62e1-470e-a4ec-2fa66a9344a1) (December 2020)

****SEC Compliance and Enforcement****

**Materials:**

* [Are You Ready for ESG as a Critical Business Imperative?](https://info.dechert.com/10/16985/uploads/are-you-ready-for-esg-as-a-critical-business-imperative.10.11.2022.pdf) (October 2022)
* [The growing importance of ESG-related supply chain due diligence](https://www.dechert.com/knowledge/onpoint/2022/1/esg-compliance-series--the-growing-importance-of-esg-related-sup.html) (January 24, 2022)
* [Litigation and Enforcement Risks for Corporates arising from Enhanced ESG Obligations and Stakeholder Pressure](https://www.dechert.com/knowledge/onpoint/2021/8/litigation-and-enforcement-risks-for-corporates-arising-from-enh.html) (August 31, 2021)
* [SEC Division of Examinations Issues Risk Alert Regarding ESG Investing](https://info.dechert.com/e/ptumws7qfjsdbq/6539dcc3-62e1-470e-a4ec-2fa66a9344a1) (April 22, 2021)
* Recent enforcement actions:
	+ [INVESTMENT ADVISERS ACT OF 1940 Release No. 6032 / May 23, 2022 INVESTMENT COMPANY ACT OF 1940 Release No. 34591 / May 23, 2022](https://www.sec.gov/litigation/admin/2022/ia-6032.pdf)
	+ [INVESTMENT ADVISERS ACT OF 1940 Release No. 5959 / February 10, 2022](https://www.sec.gov/litigation/admin/2022/ia-5959.pdf)
* [U.S. Securities and Exchange Commission 2022 Examination Priorities, Division of Examinations](https://www.sec.gov/files/2022-exam-priorities.pdf)
* SEC [Spotlight on Enforcement Task Force Focused on Climate and ESG Issues](https://www.sec.gov/spotlight/enforcement-task-force-focused-climate-esg-issues)
	+ Press Release: [SEC Charges Mutual Fund Manager for Violating Socially Responsible Investing Restrictions](https://www.sec.gov/news/press/2008/2008-157.htm) (July 30, 2008)

**ESG Developments Outside the United States**

**Materials:**

* [“ESG for Asset Managers,” International Comparative Legal Guide – Environmental, Social & Governance Law 2022](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2finfo.dechert.com%2f11%2f16746%2fuploads%2fesg22-chapter4-dechert-llp-(1).pdf&checksum=E362070C) (January 4, 2022)
* [Dechert on ESG: A Practical Guide for Asset Managers — Utilizing Principles and Frameworks for ESG Reporting and Disclosure](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2finfo.dechert.com%2f11%2f16746%2fuploads%2fdechertonesgapracticalguideforassetmanagers.pdf&checksum=36495877) (December 2020)
* [RTS under the SFDR published in the Official Journal](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2022%2f7%2frts-under-the-sfdr-published-in-the-official-journal.html&checksum=16BEFB68) (July 28, 2022)
* [SFDR – April/May Developments](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2022%2f5%2fsfdr---april-may-2022-developments-.html&checksum=656DAE1F) (May 25, 2022)
* [FCA Policy Statement on Enhancing Climate-Related Disclosures by UK Asset Managers](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2022%2f4%2ffca-policy-statement-on-enhancing-climate-related-disclosures-by.html&checksum=DE408FB1) (April 5, 2022)
* [FCA Consultation on Enhancing Climate-Related Disclosures by UK Asset Managers](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2021%2f8%2ffca-consultation-on-enhancing-climate-related-disclosures-by-uk-.html&checksum=5224E905) (September 6, 2021)
* [The SFDR Jigsaw – putting the pieces together](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2021%2f6%2fthe-sfdr-jigsaw---putting-the-pieces-together.html&checksum=1DE47AC9) (June 28, 2021)
* [Is Brexit Green?](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2020%2f12%2fis-brexit-green--a-uk-roadmap-towards-mandatory-post-brexit-clim.html&checksum=D2816F41) (December 3, 2020)
* [Overview of the EU Taxonomy Regulation](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2020%2f4%2f-overview-of-the-eu-taxonomy-regulation.html&checksum=A7209572) (November 18, 2020)
* [Overview of the EU Shareholder Rights Directive II](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2020%2f11%2foverview-of-the-eu-shareholder-rights-directive-ii.html&checksum=7417F008) (November 16, 2020)
* [Overview of the ESG Driven Amendment to AIFMD and the UCITS Directive](https://info.dechert.com/email_handler.aspx?sid=blankform&redirect=https%3a%2f%2fwww.dechert.com%2fknowledge%2fonpoint%2f2020%2f9%2foverview-of-the-esg-driven-amendment-to-aifmd-and-the-ucits-dire.html&checksum=98C17E51) (September 2, 2020)