

Private Equity Regulatory Update - September 2020

September 30, 2020 | Client Update

Rules and Regulations

- SEC Expands Access to Private Offerings

Industry Update

- OCIE Publishes Risk Alert on Cybersecurity: Safeguarding Client Accounts Against Credential Compromise

Litigation

- Token Issuer Settles SEC Allegations of Failing to Register under Section 5 of the Securities Act
- Investment Adviser and its Chief Compliance Officer Settle SEC Charges Arising Out of Alleged Failure to Conduct Compliance Reviews, and Altering Compliance Reports Provided to SEC Examiners
- Investment Adviser Settles SEC Allegations of Custody Rule Violations

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

John G. Crowley

+1 212 450 4550
john.crowley@davispolk.com

Lee Hochbaum

+1 212 450 4736
lee.hochbaum@davispolk.com

Michael S. Hong

+1 212 450 4048
michael.hong@davispolk.com

Nora M. Jordan

+1 212 450 4684
nora.jordan@davispolk.com

Sarah E. Kim

+1 212 450 4408
sarah.e.kim@davispolk.com

Leor Landa

+1 212 450 6160
leor.landa@davispolk.com

Gregory S. Rowland

+1 212 450 4930
gregory.rowland@davispolk.com

Amelia T.R. Starr

+1 212 450 4516
amelia.starr@davispolk.com

Marc J. Tobak

+1 212 450 3073
marc.tobak@davispolk.com

James H.R. Windels

+1 212 450 4978
james.windels@davispolk.com

This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's privacy notice for further details.

Related materials

[private_equity_regulatory_update_-_september_2020.pdf](#)