

Investment Management 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

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