

Private Equity Regulatory Update - March 2020

March 31, 2020 | Client Update

COVID-19 Update

- SEC Issues Targeted Regulatory Relief for Advisers and Registered Funds Affected by the Coronavirus Outbreak
- CFTC and NFA Provide Temporary Regulatory Relief to Commodity Pool Operators and Commodity Trading Advisers in Response to the COVID-19 Outbreak

Rules and Regulations

- SEC Amends Exemptions from Investment Adviser Registration for Advisers to Rural Business Investment Companies

Industry Update

- Commissioner Allison Herren Lee Delivers Remarks before the Investment Adviser Association Compliance Conference 2020
- SEC Disapproves Proposed Rule Change to Permit Listing and Trading of Shares of United States Bitcoin and Treasury Investment Trust

Litigation

- SEC Settles with Investment Adviser for Engaging in Unauthorized Principal Trades
- SEC Sues Investment Advisers for Alleged Failures to Disclose Financial Conflicts of Interest
- SEC Obtains Judgment Against Former Chief Compliance Officer of Investment Adviser

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.

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