

Private Equity Regulatory Update - October 2019

October 31, 2019 | Client Update

Rules and Regulations

- SEC Investment Management Division Issues FAQs for Disclosure of Certain Financial Conflicts Related to Investment Adviser Compensation

Litigation

- SEC Settles with Private Equity Adviser for Management Fee Overcharges
 - SEC Settles with Investment Advisers for Alleged Violations of Investment Company Act, Material Omissions in SEC application, and Violations of the Advisers Act Custody Rules
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