

## Private Equity Regulatory Update - October 2020

October 30, 2020 | Client Update

### Rules and Regulations

- SEC Proposes to Exempt Certain “Finders” from Broker-Dealer Registration Requirements

### Industry Update

- Dalia Blass Keynote Address at the Investment Company Institute 2020 Virtual Securities Law Developments Conference: Regulating with Our Eyes on the Future
- Joint Statement on New FAQs for Form CRS.

### Litigation

- Blockchain Lending Company Settles SEC Charges Arising from Unregistered ICO
- SEC Settles with Private Equity Fund Manager Regarding Alleged Fee Overcharges

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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## Related materials

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