

Private Equity Regulatory Update - September 2017

September 29, 2017 | Client Update

Industry Update

- So You Want to Buy a Stake in a Private Equity Manager?
- SEC Staff Issues Information Update on Compliance with Form ADV Amendments for Other-Than-Annual Amendments
- OCIE Issues Risk Alert on Common Advertising Rule Compliance Issues Identified in Investment Adviser Examinations

Litigation

- SEC Charges Chief Compliance Officer for Failure to Verify Accuracy of Securities Filings
- SEC Charges Adviser for Improper Allocation of Consulting and Other Fees

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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