

Private Equity Regulatory Compliance

Compliance with complex regulations is more than a legal burden for forward-facing investors. Strong investment practices shore up operations and build future defenses. Our comprehensive compliance programs arm private equity investors with actionable, regulatory-sound practices and procedures.

Guidance tailored to the real world

We build compliance programs grounded in decades of middle-market private equity experience. Programs tailored to funds, family offices and independent sponsors establish compliance infrastructure while maintaining investment flexibility.

Private equity investments in businesses and regulated industries create a multilayered compliance landscape. Our depth of industry experience, particularly in health care, eases the path to compliance. Should regulators make inquiries, we act swiftly to tame the threat. We leverage long-standing relationships with state and federal authorities, including the Securities and Exchange Commission and Financial Industry Regulatory Authority, to protect clients.

Commonsense protection for global compliance

From best practices in valuations to disclosure of conflicts, we address clients' domestic and international obligations in key areas, including:

- Alternative Investment Fund Managers Directive
- Cybersecurity
- European Securities and Markets Authority
- Fees and expenses
- Fiduciary and reporting requirements
- Investment Advisers Act of 1940
- Investment adviser registration
- Performance advertising
- SEC audits, inspections and enforcement proceedings

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