

Richard Marshall Offers SEC Compliance Insight to Law360

May 15, 2018

Financial Services partner Richard Marshall was quoted in Law360 on the difference attorneys can make in private equity firm compliance with the Securities and Exchange Commission (SEC). Rick noted that the SEC has shifted focus to cyber-threats and retail consumer protection, resulting in a decline in cases against PE firms. However, PE firms and portfolio companies need to remain diligent. He stated, "In the asset management unit of the SEC, they have people dedicated to private equity. So they still have the infrastructure in place to bring those cases." ("[How Attorneys Can Help PE Clients Be SEC Compliant](#)," May 11, 2018)

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