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FIRM NEWS

Richard Marshall Quoted by Law360 on Recent SEC Enforcement Actions

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Financial Services partner Richard Marshall was quoted by Law360 on the Securities and Exchange Commission's (SEC) recent decision to fine 13 private fund advisers for repeatedly failing to file "an obscure form." Rick noted that the form is not something that should require enforcement, stating, "You could do that through the inspection program, or you could issue an alert." However, the SEC's decision to do so signals that the SEC is "focused on policing even the most technical of missteps." As a result, firms should closely re-examine their compliance procedures to ensure they meet regulatory requirements. ("SEC's Fund Adviser Fines a Warning to PE Firms, Attys Alike," June 5, 2018)

CONTACTS

For more information, contact your Katten attorney or any of the following attorneys.



Richard D. Marshall
+1.212.940.8765
richard.marshall@katten.com

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