

SEC Releases Risk Alert Identifying Common Private Equity and Hedge Fund Compliance Deficiencies

The Capital Commitment on June 30, 2020

Last week, OCIE issued a new risk alert entitled “Observations from Examinations of Investment Advisers Managing Private Funds.” This risk alert discusses many practices which have been the subject of SEC enforcement actions involving private fund advisers over the past several years, in particular, conflicts of interest, fees and expenses, and policies and procedures relating to MNPI. This alert serves as a valuable reminder of some basic steps advisers to private equity and/or hedge funds can take to reduce and avoid regulatory scrutiny in these areas. For more information, [please see our client alert](#).

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