

CLIENT ALERT

Private Equity Alert: SEC Censures 13 Firms For Failing to File Form PF

June 5, 2018

AUTHOR

Mark Proctor

On June 1, 2018, the SEC announced settlements with 13 private investment firms that allegedly failed repeatedly to file Form PF or required annual amendments.¹ Each of the firms was censured and agreed to pay a fine of \$75,000.

As a reminder, registered investment advisers who advise one or more private equity funds and have at least \$150 million of AUM are required to file Form PF. Private equity firms generally file on an annual basis, within 120 days of the end of the fiscal year, with additional information required regarding funds and underlying investments for large advisers with \$2 billion of AUM.

Please see our previous alert, [Private Equity Alert: Year-End Reminder](#) for more information about filing deadlines applicable to private equity managers.

¹ See <https://www.sec.gov/news/press-release/2018-100>.

Private Equity Alert: SEC Censures 13 Firms For Failing to File Form PF

If you have any questions regarding this client alert, please contact the following attorney or the attorney with whom you regularly work.

Mark Proctor

212 728 8234

mproctor@willkie.com

Copyright © 2018 Willkie Farr & Gallagher LLP.

This alert is provided by Willkie Farr & Gallagher LLP and its affiliates for educational and informational purposes only and is not intended and should not be construed as legal advice. This alert may be considered advertising under applicable state laws.

Willkie Farr & Gallagher LLP is an international law firm with offices in New York, Washington, Houston, Paris, London, Frankfurt, Brussels, Milan and Rome. The firm is headquartered at 787 Seventh Avenue, New York, NY 10019-6099. Our telephone number is (212) 728-8000 and our fax number is (212) 728-8111. Our website is located at www.willkie.com.