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SEC Examinations of Private Fund Advisers

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With new personnel, technology and types of examinations, the U.S. Securities & Exchange Commission has expanded its examination program in an effort to encompass the influx of advisers to private funds, newly required to register by the Dodd-Frank Act. In this article, SRZ partner Marc E. Elovitz discusses current SEC enforcement activity and cites recent cases that underline the importance of candor in keeping rectifiable violations from becoming enforcement matters. SRZ associate Christopher S. Avellaneda assisted in the preparation of this article.

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