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SEC Brings Enforcement Action Against Fund Manager for Single 13D Violation

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The SEC brought charges against a fund manager for 13D violations, in yet another reminder that it will pursue enforcement actions against filers for Schedule 13D violations even without a pattern of repeat violations. On Sept. 17, 2020, the SEC announced the settlement of charges brought against an investment manager of certain private funds for failure to timely amend a statement of beneficial ownership report on Schedule 13D. In this article, partner Ele Klein and special counsel Adriana Schwartz and Clara Zylberg outline the implications of the charges and other key takeaways for investment managers.

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