

## UPDATES

# 2021 Update for Investment Advisers Important Annual Requirements; 2021 SEC Exam Priorities; Recent SEC Enforcement Initiatives

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*March 4, 2021*

This Sidley Update alerts investment advisers to certain regulatory and compliance obligations. These obligations include a number of significant calendar year 2021 reporting or filing deadlines, in particular those required under the Investment Advisers Act of 1940 for registered advisers and exempt reporting advisers, as well as under the Commodity Exchange Act for registered CPOs and CTAs. This Sidley Update also provides information regarding recent regulatory developments that may affect an investment adviser's compliance program, a summary of recent examination and enforcement actions that reflect SEC concerns relevant to advisers and the SEC staff's examination priorities for 2021.

**[To read the full Sidley Update, please click here.](#)**

## CONTACTS

If you have any questions regarding this Sidley Update, please contact the Sidley lawyer with whom you usually work, or

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