



# COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

JANUARY 2, 2018

SKRC Compliance Weekly is a weekly reminder of certain regulatory obligations that may apply to an SEC-registered investment adviser and CFTC-registered commodity pool operator and commodity trading advisor with a December 31 fiscal year-end that advises one or more private funds.

Obligation	Comment
Quarterly Form 13H Amendment (due 1/10/2018).	For fourth quarter 2017. Securities Exchange Act Rule 13h-1 requires a “large trader” to identify itself to the SEC and promptly make certain disclosures to the SEC on Form 13H. Following this initial filing of Form 13H, all large traders must make an amended filing to correct inaccurate information in the form promptly (within 10 days) following the quarter-end in which the information became inaccurate.

If you have any questions regarding the matters covered herein, please contact any of the attorneys listed below.

<b>Robert L. Chender</b> 212-574-1415 chender@sewkis.com	<b>Ivy Wafford Duke</b> 202-661-7179 duke@sewkis.com	<b>Debra Franzese</b> 212-574-1353 franzese@sewkis.com	<b>Maureen R. Hurley</b> 212-574-1384 hurley@sewkis.com	<b>Paul M. Miller</b> 202-737-8833 millerp@sewkis.com
<b>Joseph M. Morrissey</b> 212-574-1245 morrissey@sewkis.com	<b>David R. Mulle</b> 212-574-1452 mulle@sewkis.com	<b>Steven B. Nadel</b> 212-574-1231 nadel@sewkis.com	<b>Anthony C.J. Nuland</b> 202-737-8833 nuland@sewkis.com	<b>Marlon Q. Paz</b> 202-661-7178 paz@sewkis.com
<b>Patricia A. Poglinco</b> 212-574-1247 poglinco@sewkis.com	<b>Christopher C. Riccardi</b> 212-574-1535 riccardi@sewkis.com	<b>Keri E. Riemer</b> 212-574-1598 riemer@sewkis.com	<b>David Tang</b> 212-574-1260 tang@sewkis.com	<b>Robert Van Grover</b> 212-574-1205 vangrover@sewkis.com

Seward & Kissel Regulatory Compliance (SKRC) is a service provided by Seward & Kissel LLP.

SKRC offers [Compliance Services](#) as well as an [Online Compliance Subscription Service](#).

The information contained herein is for informational purposes only and is not intended and should not be considered to be legal advice on any subject matter. As such, recipients of this information, whether clients or otherwise, should not act or refrain from acting on the basis of any information included in this report without seeking appropriate legal or other professional advice. This information is presented without any warranty or representation as to its accuracy or completeness, or whether it reflects the most current legal developments. This information may be considered attorney advertising. Prior results do not guarantee a similar outcome.



One Battery Park Plaza | New York, NY 10004  
212-574-1200 | 212-480-8421 (fax) | [sknyc@sewkis.com](mailto:sknyc@sewkis.com)

901 K Street, NW | Washington, DC 20001  
202-737-8833 | 202-737-5184 (fax) | [skdc@sewkis.com](mailto:skdc@sewkis.com)

[www.compliance.sewkis.com](http://www.compliance.sewkis.com)

© 2018 – present. Seward & Kissel LLP. All rights reserved.