



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

DECEMBER 11, 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
TIC Form S (due 12/17/2018).	For November 2018. Must be filed by "US resident entities" that, during a reporting month, transacted (i.e., purchases or sales) with foreign persons in "long term securities" in excess of \$350 million.

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

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