



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

DECEMBER 18, 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 SLT (due 12/24/2018). | For November 2018. Must be filed by "US residents" on a monthly basis to report "long term cross border ownership" of securities in excess of \$1 billion. |

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

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