



# COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

DECEMBER 4, 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.

<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>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>Robert Van Grover</b> 212-574-1205 vangrover@sewkis.com
<b>Robert L. Chender</b> 212-574-1415 chender@sewkis.com	<b>Keri E. Riemer</b> 212-574-1598 riemer@sewkis.com	<b>David Tang</b> 212-574-1260 tang@sewkis.com		

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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)

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