



# COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

MARCH 12, 2019

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 3/15/2019).   | For February 2019. 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. |
| TIC Form SLT (due 3/25/2019). | For February 2019. 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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