SKRC

# COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

**SEPTEMBER 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 9/17/2018). | For August 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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