



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

SEPTEMBER 7, 2021

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 9/15/2021).	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 S is due no later than 15 calendar days following the last business day of the month. If the due date of the report falls on a weekend or holiday, Form S is due the following business day.

Please note that certain regulatory obligations may be subject to regulatory relief or extension due to circumstances related to COVID-19. Please visit [Seward & Kissel's COVID-19 Resource Center](#) for more information.

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

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