



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

JANUARY 18, 2022

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 1/18/2022).	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.
TIC Form SLT (due 1/24/2022).	Must be filed by “US residents” on a monthly basis to report “long term cross border ownership” of securities in excess of \$1 billion. Data on the Form TIC SLT must be reported as of the last business day of the month (as-of date). The TIC Form SLT must be submitted to the Federal Reserve Bank no later than the 23rd calendar day of the month following the report as-of date. If the due date of the report falls on a weekend or holiday, TIC Form SLT should be submitted the following business day.

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

Daniel Bresler bresler@sewkis.com 212-574-1203	Debra Franzese franzese@sewkis.com 212-574-1353	Robert M. Kurucz kurucz@sewkis.com (202) 661-7195	Nicholas R. Miller millern@sewkis.com 212-574-1359	Paul M. Miller millerp@sewkis.com 202-737-8833
Joseph M. Morrissey morrissey@sewkis.com 212-574-1245	David R. Mulle mulle@sewkis.com 212-574-1452	Steven B. Nadel nadel@sewkis.com 212-574-1231	Kevin Neubauer neubauer@sewkis.com 212-574-1355	Patricia A. Poglinco poglinco@sewkis.com 212-574-1247
Christopher C. Riccardi riccardi@sewkis.com 212-574-1535	Robert Van Grover vangrover@sewkis.com 212-574-1205	Alexandra Alberstadt alberstadt@sewkis.com 212-574-1217	Jay Baroody baroody@sewkis.com 212-574-1347	Lancelot A. King king@sewkis.com (202) 661-7196
David Tang tang@sewkis.com 212-574-1260	Valentino Vasi vasi@sewkis.com 212-574-1281			

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