



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

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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 |
|---|---|
| Quarterly Transaction Reports (due 10/30/2022). | Advisers Act Rule 204A-1 requires “access persons” of a registered adviser to submit a transaction report to the chief compliance officer covering all transactions during the previous quarter no later than 30 days after the end of each calendar quarter. |
| Periodic Report for CPOs (due 10/30/2022). | CPOs are required to distribute a periodic report of their account statements within 30 calendar days of each month end. Note, however, that CPOs relying on an exemption under CFTC Rule 4.7 or Rule 4.12(b) are only required to distribute a periodic report of their account statements within 30 days of each quarter end. |

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

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|--|--|---|---|---|
| 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 |

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