



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

OCTOBER 4, 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
Quarterly Form 13H Amendment (due 10/11/2022).	Exchange Act Rule 13h-1 requires a “large trader” to identify itself to the SEC and promptly make certain disclosures to the SEC on Form 13H. Following an initial filing of Form 13H all large traders must make an amended filing to correct inaccurate information promptly (within 10 days) following the quarter-end in which the information became inaccurate.

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

Seward & Kissel Regulatory Compliance (SKRC) is a service provided by Seward & Kissel LLP.

SKRC offers [Compliance Services](#) as well as an [Online Compliance Portal](#).

The information contained herein is for informational purposes only and is not intended and should not be considered to be legal advice on any subject matter. As such, recipients of this information, whether clients or otherwise, should not act or refrain from acting on the basis of any information included in this report without seeking appropriate legal or other professional advice. This information is presented without any warranty or representation as to its accuracy or completeness, or whether it reflects the most current legal developments. This information may be considered attorney advertising. Prior results do not guarantee a similar outcome.

