



# COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

OCTOBER 31, 2023

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
Form CTA-PR (due 11/14/2023).	Registered CTAs must file a quarterly Form CTA-PR within 45 days of the quarter end.
Form 13F (due 11/14/2023).	Exchange Act Rule 13f-1 requires every institutional investment adviser that exercises investment discretion over accounts holding "Section 13(f) securities" with an aggregate fair market value on the last trading day of any month of any calendar year of at least \$100 million to file Form 13F within 45 days after the last day of such calendar year and within 45 days after the last day of each of the first three calendar quarters of the subsequent calendar year. The list of Section 13(f) securities is available at <a href="http://sec.gov">sec.gov</a> .

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

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