



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

MAY 14, 2024

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 5/15/2024).	Registered CTAs must file a quarterly Form CTA-PR within 45 days of the quarter end.
Form 13F (due 5/15/2024).	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 sec.gov .
TIC Form SLT (due 5/23/2024).	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 TIC Form SLT must be reported as of the last business day of the immediately preceding 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.



One Battery Park Plaza | New York, NY 10004
212-574-1200 | 212-480-8421 (fax) | sknyc@sewkis.com

901 K Street, NW | Washington, DC 20001
202-737-8833 | 212-480-8421 (fax) | skdc@sewkis.com

<https://compliance.sewkis.com/>

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

Daniel G. Viola, Head of SKRC
viola@sewkis.com
212-574-1457

Jay Baroody
baroody@sewkis.com
212-574-1347

Robert M. Kurucz
kurucz@sewkis.com
202-661-7195

Steven B. Nadel
nadel@sewkis.com
212-574-1231

Alexandra Alberstadt
alberstadt@sewkis.com
212-574-1217

Daniel Bresler
bresler@sewkis.com
212-574-1203

Nicholas R. Miller
millern@sewkis.com
212-574-1359

Kevin Neubauer
neubauer@sewkis.com
212-574-1355

Lancelot A. King
king@sewkis.com
202-661-7196

Kevin Cassidy
cassidy@sewkis.com
212-574-1542

Paul M. Miller
millerp@sewkis.com
202-661-7155

Patricia A. Poglinco
poglinco@sewkis.com
212-574-1247

Kris Swiatek
swiatek@sewkis.com
212-574-1670

Debra Franzese
franzese@sewkis.com
212-574-1353

Joseph M. Morrissey
morrissey@sewkis.com
212-574-1245

Christopher C. Riccardi
riccardi@sewkis.com
212-574-1535

Noelle Indelicato
indelicato@sewkis.com
212-574-1643

David R. Mulle
mulle@sewkis.com
212-574-1452

Robert B. Van Grover
vangrover@sewkis.com
212-574-1205

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