



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

SEPTEMBER 10, 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 |
|-------------------------------|---|
| TIC Form SLT (due 9/23/2024). | 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. |

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 Barody
barody@sewkis.com
212-574-1347

Robert M. Kurucza
kurucza@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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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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