



SKRC

COMPLIANCE WEEKLY

A publication of Seward & Kissel Regulatory Compliance

March 31, 2026

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 ADV annual updating amendment due 3/31/2026	Advisers Act Rule 204-1(a)(1) requires a registered investment adviser to file an annual updating amendment to its Form ADV within 90 days after its fiscal year-end. The adviser's IARD account must be funded with the required filing fees in advance of the annual ADV filing.
Annual Report for pools with a calendar-year fiscal year due 3/31/2026	Registered CPOs must distribute an Annual Report (audited financial statements of a pool), certified by an independent public accountant, to pool participants within 90 days of the pool's fiscal year-end. CPOs are also required to file this report with the NFA within 90 days of the pool's fiscal year-end. CPOs can submit a request for extension (e.g., for a fund-of-funds) to the NFA.
Quarterly Form 13H Amendment due 4/10/2026	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 in the form promptly (within 10 days) following the quarter-end in which the information became inaccurate.



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If you have any questions regarding the matters covered herein, please contact your primary Seward & Kissel partner or a member of [Investment Management Group](#).

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SEWARD & KISSEL LLP

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

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