

THE PRIVATE FUNDS REPORT

Index to Covered Topics*

Fall/Winter 1999 – Fall 2012 Editions

Volumes I - XIII



A publication of the Investment Management Group

Covered Topic

Newsletter

Commodity Exchange Act

Ethics Requirement
Online Registration
Registration Relief

Sp 02-Vol. IV
Sp 02-Vol. IV
Sp 03-Vol. VI
F 03-Vol. VII
Su 04-Vol. VIII
F 12-Vol. XIII

Swaps

ERISA

25% Test

Sp 02-Vol. IV
F 06-Vol. X
F 03-Vol. VII

QPAM Exemption

Federal Laws & Regulations - Misc.

Brokers Selling Hedge Funds
Hart-Scott-Rodino Act

Sp 03-Vol. VI
Su 01-Vol. III
F 06-Vol. X

Insider Trading

JOBS Act

New Issues

F 12-Vol. XIII
F 12-Vol. XIII
F 03-Vol. VII
Sp 05-Vol. IX
Sp 02-Vol. IV
F 02-Vol. V

Patriot Act

Performance Information

Sp 03-Vol. VI
F 03-Vol. VII
Su 04-Vol. VIII
Sp 05-Vol. IX
F 06-Vol. X
Su 01-Vol. III
Sp 02-Vol. IV
F 06-Vol. X
F 02-Vol. V

PIPEs

Privacy Rules

RIC/ETF Investments

Section 16

F 03-Vol. VII
F 03-Vol. VII
Su 04-Vol. VIII
Su 09-Vol. XII
Sp 05-Vol. IX
F 06-Vol. X
Su 09-Vol. XII

Soft Dollars

Unregistered Brokers

Investment Adviser Laws & Regulations

Antifraud Rule
California Rule
Compliance Programs

W 07/08-Vol. XI
W 07/08-Vol. XI
Sp 03-Vol. VI
Su 04-Vol. VIII
Su 09-Vol. XII
F 02-Vol. V
F 03-Vol. VII
Su 04-Vol. VIII
W 07/08-Vol. XI
Su 09-Vol. XII

Compliance for Unregistered Advisers

Custody Rule

Covered Topic

Newsletter

Investment Adviser Laws & Regulations - continued

E-mail Retention
Form ADV Part II
Mock Audits
New York Law
Proxy Rules
SEC Registration

Su 04-Vol. VIII
W 07/08-Vol. XI
F 12-Vol. XIII
F 02-Vol. V
F 02-Vol. V
Su 04-Vol. VIII
F 06-Vol. X

Private Fund Structuring & Other Issues

Blue Sky Filings
Contingency Planning
Employee Handbooks
Estate Planning
Internet/Web Listings
LLC Operating Agreements
Master-Feeder v. Side-by-Side Structure
Media Use
Mutual Funds Involvement
Name Choices
Office Leases
Office Relocations
Private Equity/Similar Transactions
Registered Funds
Reporting Investment Positions
SEC Inquiries
Seed Investors
Segregated Portfolios
Side Pockets
Software License Agreements
Swap Documentation

F 02-Vol. V
Sp 03-Vol. VI
Su 04-Vol. VIII
Su 01-Vol. III
Su 00-Vol. II
Sp 02-Vol. IV
Sp 02-Vol. IV
F 06-Vol. X
Su 01-Vol. III
Su 00-Vol. II
F 06-Vol. X
W 07/08-Vol. XI
Sp 02-Vol. IV
Sp 03-Vol. VI
F 03-Vol. VII
W 07/08-Vol. XI
F 02-Vol. V
Sp 02-Vol. IV
Su 09-Vol. XII
W 07/08-Vol. XI
F 03-Vol. VII

State Laws & Regulations - Misc.

New York Publication Rule

Sp 05-Vol. IX

Taxation - Federal & International

Carried Interest
Deferred Compensation

W 07/08-Vol. XI
Sp 03-Vol. VI
Sp 05-Vol. IX
W 07/08-Vol. XI
Su 04-Vol. VIII
F 02-Vol. V
Su 04-Vol. VIII
Sp 05-Vol. IX
Sp 03-Vol. VI
W 07/08-Vol. XI

European Union Savings Directive
Insurance Company Issues
Notional Principal Contracts
Tax Basis Adjustments
Tax Shelter Regulations
UBTI

* This is an alphabetical index of the current relevant topics covered in *The Private Funds Report*, a newsletter published by Seward & Kissel LLP's Investment Management Group. It will be updated upon the issuance of every new edition of the newsletter. A copy of this document and the referenced newsletters may be found on the web at www.sewkis.com under Publications. For purposes of this index, W = Winter, Sp = Spring, Su = Summer and F = Fall.