COMPLIANCE WEEKLY A Publication of Seward & Kissel Regulatory Compliance

JULY 3, 2018

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
Quarterly Form 13H Amendment (due 7/10/2018).	Securities 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.

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

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