



COMPLIANCE WEEKLY

A Publication of Seward & Kissel Regulatory Compliance

JANUARY 16, 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
TIC Form SLT (due 1/23/2018).	For December 2017. Must be filed by "US residents" on a monthly basis to report "long term cross border ownership" of securities in excess of \$1 billion.

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

Robert L. Chender 212-574-1415 chender@sewkis.com	Ivy Wafford Duke 202-661-7179 duke@sewkis.com	Debra Franzese 212-574-1353 franzese@sewkis.com	Maureen R. Hurley 212-574-1384 hurley@sewkis.com	Paul M. Miller 202-737-8833 millerp@sewkis.com
Joseph M. Morrissey 212-574-1245 morrissey@sewkis.com	David R. Mulle 212-574-1452 mulle@sewkis.com	Steven B. Nadel 212-574-1231 nadel@sewkis.com	Anthony C.J. Nuland 202-737-8833 nuland@sewkis.com	Marlon Q. Paz 202-661-7178 paz@sewkis.com
Patricia A. Poglinco 212-574-1247 poglinco@sewkis.com	Christopher C. Riccardi 212-574-1535 riccardi@sewkis.com	Keri E. Riemer 212-574-1598 riemer@sewkis.com	David Tang 212-574-1260 tang@sewkis.com	Robert Van Grover 212-574-1205 vangrover@sewkis.com

Seward & Kissel Regulatory Compliance (SKRC) is a service provided by Seward & Kissel LLP.

SKRC offers [Compliance Services](#) as well as an [Online Compliance Subscription Service](#).

The information contained herein is for informational purposes only and is not intended and should not be considered to be legal advice on any subject matter. As such, recipients of this information, whether clients or otherwise, should not act or refrain from acting on the basis of any information included in this report without seeking appropriate legal or other professional advice. This information is presented without any warranty or representation as to its accuracy or completeness, or whether it reflects the most current legal developments. This information may be considered attorney advertising. Prior results do not guarantee a similar outcome.

