

## Seward & Kissel briefing: Annual regulatory reminders

Seward & Kissel publishes its 2018 annual regulatory reminders memorandum.

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<b>Submitted</b>	14 February 2018
<b>Applicable Law</b>	USA
<b>Topic</b>	<a href="#">Asset Management &gt; Hedge funds</a> <a href="#">Investment Bank Regulatory</a>
<b>Sector Focus</b>	<a href="#">Asset Management and Investment Funds</a> <a href="#">Financial Institutions</a>
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On 09 February 2018, Seward & Kissel [published a memorandum](#), “Annual regulatory reminders”, highlighting requirements applicable to the following advisers.

All investment advisers (including those not registered with the Securities and Exchange Commission (SEC)) should review Section 1. Sections 2 - 5 should be reviewed by advisers where applicable.

### 1. All advisers

- Securities Exchange Act of 1934 Filings
- Privacy Notice
- New Issue Eligibility
- Contractual Obligations
- ERISA
- Private Offering Exemption Filings
- Rule 506(d) under Regulation D of the Securities Act, and
- TIC and BEA Reporting Requirements

### 2. SEC registered advisers and exempt reporting advisers

- Form ADV Annual Amendment and Delivery, and
- State Filings

### 3. SEC registered advisers

- Compliance Policies and Procedures
- Audited Financial Statements and Surprise Exams, and
- Form PF

### 4. Advisers that trade futures, commodities, certain swaps and other commodity

## interests

- Commodity Pool Operators, and
- Commodity Trading Advisors

## 5. Private equity and venture capital fund advisers

For more information contact an attorney at [Seward & Kissel](#) or [Richard Perry](#).

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