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CONSTELLATION ADVISERS, LLC

For planning purposes, we have compiled a list of SEC, NFA and EU AIFMD reporting requirements for investment advisers, CPOs, CTAs, AIFs and AIFMs. This is not intended to cover all possible filing requirements, but rather to serve as a reminder of several of the most common regulatory filings due this calendar quarter. We hope you find this useful for planning your compliance activities this quarter.

Happy Independence Day!

REGULATORY NOTICE: 19-06

FILING DEADLINES FOR THE THIRD QUARTER OF 2019 AND ACTION ITEMS

In addition to identifying common filing deadlines, Constellation has also provided several action items below to help clients prepare.

Investment Advisers, Alternative Investment Funds, Alternative Investment Fund Managers

❖ **July 10, 2019**

- Form 13H Quarterly Update

❖ **July 15, 2019**

- Form PF (Quarterly Filing for QE 6/30) – Large Liquidity Fund Advisers
- Blue Sky Filings

❖ **July 30, 2019**

- Quarterly Transaction Reports

- AIFMD Annex IV Quarterly and Semi-Annual Reporting
- ❖ **August 14, 2019**
 - Form 13F
- ❖ **August 15, 2019**
 - Blue Sky Filings
 - AIFMD Annex IV Quarterly and Semi-Annual Reporting for Fund of Funds
- ❖ **August 29, 2019**
 - Form PF (Quarterly Filing) – Large Hedge Fund Advisers
- ❖ **September 13, 2019¹**
 - Blue Sky Filings

Commodity Pool Operators and Commodity Trading Advisers

- ❖ **July 1, 2019**
 - May Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants
- ❖ **July 30, 2019**
 - June Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants
 - Quarterly Account Statements (CPO with NAV under \$500,000) – delivered to pool participants
- ❖ **August 14, 2018**
 - Quarterly NFA Form PR
- ❖ **August 29, 2019**
 - PQR for QE 6/30 (all CPOs)
- ❖ **August 30, 2019**
 - July Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants
- ❖ **September 27, 2019¹**
 - Annual Report – CPO Members (FYE 6/30)
- ❖ **September 30, 2019**
 - August Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants

¹ For deadlines that fall on a weekend or holiday, Constellation recommends submitting the filings early even though it may be permissible to submit the filings or comply with the regulatory requirement on the next business day.

TAKE ACTION!

Clients Should:

- Fund IARD account for annual ADV amendment and Form PF (if applicable).
- Determine whether RAUM triggers Form PF filing requirement.
- For Form 13H, determine whether the firm had transactions in NMS securities equal to or exceeding 2 million shares or \$20 million during any calendar day, or 20 million shares or \$200 million during any calendar month; or has changes to information in a previously filed Form 13H.
- For Form 13D/G, determine whether the firm reached and/or held 5% in certain equity securities. Other considerations are applicable to these filings. Please consult a compliance specialist for further assistance.
- For Form 13F, determine if the firm held certain equity securities with an aggregate fair market value of at least \$100 million on the last trading day of any month.
- For Section 16 reporting (Forms 3, 4, and 5), determine whether the firm attained 10% ownership in any equity security.

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