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CONSTELLATION
ADVISERS, LLC

For planning purposes, we have compiled a list of SEC, NFA and AIFMD reporting requirements for investment advisers, CPOs, CTAs, AIFs and AIFMs. This is not intended to cover all possible filing requirements, but is 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.

FILING DEADLINES FOR THE FOURTH QUARTER OF 2019

Investment Advisers

- ❖ **October 10, 2019**
 - Form 13H Quarterly Update
- ❖ **October 15, 2019**
 - Form PF (Quarterly Filing ending 9/30) – Large Liquidity Fund Advisers
 - Blue Sky Filings
- ❖ **October 28, 2019**
 - Distribution of Audited Financial Statements (Fiscal Year Ending 6/30)
 - Distribution of Updated Form ADV Part 2A (Fiscal Year Ending 6/30)
 - Annual update to Form PF (Fiscal Year ending 6/30) – Small Private Fund Advisers
- ❖ **October 30, 2019**
 - AIFMD Annex IV Quarterly Reporting
- ❖ **November 14, 2019**
 - Form 13F

- Form 5 (Fiscal Year Ending 9/30)
- AIFMD Annex IV Quarterly Reporting for Fund of Funds
- ❖ **November 15, 2019**
 - Blue Sky Filings
- ❖ **November 29, 2019**
 - Form PF (Quarterly Filing) – Large Hedge Fund Advisers
- ❖ **December 13, 2019¹**
 - Blue Sky Filings
- ❖ **December 27, 2019²**
 - Distribution of Audited Financial Statements for fund of funds (Fiscal Year Ending 6/30)
 - Form ADV Annual Amendment (Fiscal Year Ending 9/30)

Commodity Pool Operators and Commodity Trading Advisers

- ❖ **October 30, 2019**
 - September 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
- ❖ **November 14, 2019**
 - Quarterly NFA Form PR
- ❖ **November 29, 2019¹**
 - Quarterly NFA Form PQR
 - October Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants
- ❖ **December 27, 2019¹**
 - Annual Report – CPO Members (Fiscal Year Ending 9/30)
 - November Monthly Account Statements (CPO with NAV over \$500,000) – delivered to pool participants

¹ Due to year-end considerations, Constellation advises submitting these filings early.

² This is likely the last day IARD will accept filings prior to year-end.

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