



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.

REGULATORY NOTICE 19-05

FILING DEADLINES FOR THE SECOND 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 for the upcoming filing and identify potential additional regulatory obligations that may be applicable as a result of advisory activities.

Investment Advisers, Alternative Investment Funds, Alternative Investment Fund Managers

April 30, 2019

- Quarterly Transaction Reports
- Distribution of Audited Financial Statements (FYE 12/21)
- Distribution of Updated Form ADV Part 2A (FYE 12/31)
- Form PF (Annual Filing for FYE 12/31) - Small Private Fund and Large PE Advisers
- AIFMD Annex IV Quarterly Reporting

May 10, 2019

- Form N-CSR (for annual reports distributed on 4/30)

May 15, 2019

- Form 13F
- Form 5 (FYE 3/31)
- Blue Sky Filings
- AIFMD Annex IV Quarterly Reporting for fund of funds

May 30, 2019

- Form PF (Quarterly Filing for QE 3/31) - Large Hedge Fund Advisers

June 14, 2019 ^[1]

- Blue Sky Filings

June 28, 2019 ^[1]

- Form ADV Annual Amendment (FYE 3/31)
- Distribution of Audited Financial Statements for fund of funds (FYE 12/31)

Commodity Pool Operators and Commodity Trading Advisers and Exemptions

April 30, 2019

- March 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

May 15, 2019

- Quarterly NFA Form PR

May 30, 2019

- PQR for QE 3/31 (all CPOs)
- April Monthly Account Statements (CPO with NAV over \$500,000) - delivered to pool participants

June 28, 2019^[1]

- Annual Report - CPO Members (FYE 3/31)

[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 Form PF (if applicable).
- For Form 13H, determine whether the firm has 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 Section 16 reporting (Form 3, 4 and 5), determine whether the firm attained 10% ownership in any equity security.

Contact a member of Constellation's compliance team for assistance with any regulatory and compliance needs.

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