



2017 Compliance Calendar SEC Registered Investment Advisers

	Compliance Task	Due Date
<input type="checkbox"/>	File Joint Form 13H-Q and Form 13H-A (if 4Q2016 requires update)	January 10, 2017
<input type="checkbox"/>	Review 2017 IARD Final Renewal Statement for Outstanding Balance	January 20, 2017
<input type="checkbox"/>	Certify FINRA Entitlement Accounts	February 9, 2017
<input type="checkbox"/>	File Form 13F for 4Q2016	February 14, 2017
<input type="checkbox"/>	File Form 13D and 13G Annual Amendments	February 14, 2017
<input type="checkbox"/>	File Form 13H-A (if no 4Q2016 update)	February 14, 2017
<input type="checkbox"/>	Update and File Form ADV	March 31, 2017
<input type="checkbox"/>	File Form 13H-Q for 1Q2017	April 10, 2017
<input type="checkbox"/>	Deliver Audited Financial Statements to Private Fund Investors	April 30, 2017
<input type="checkbox"/>	Offer to deliver Form ADV Part 2 to Clients	April 30, 2017
<input type="checkbox"/>	Deliver Privacy Notice to Natural Person Customers	April 30, 2017
<input type="checkbox"/>	File Form PF	April 30, 2017
<input type="checkbox"/>	File Form 13F for 1Q2017	May 14, 2017
<input type="checkbox"/>	File Form 13H-Q for 2Q2017	July 10, 2017
<input type="checkbox"/>	File Form 13F for 2Q2017	August 14, 2017
<input type="checkbox"/>	File Form 13H-Q for 3Q2017	October 10, 2017
<input type="checkbox"/>	File Form 13F for 3Q2017	November 14, 2017
<input type="checkbox"/>	Fund FINRA eBill Account for Initial Renewal Statement	December 2017

Ongoing Annual Tasks, date varies:

	Compliance Task	Date Completed
<input type="checkbox"/>	Collect Code of Ethics Attestations from Employees	
<input type="checkbox"/>	Collect Personal Brokerage Account Attestations from Employees	
<input type="checkbox"/>	Collect Disciplinary Questionnaires from Employees	
<input type="checkbox"/>	File Form D Amendment for Private Funds on Anniversary of Filing	
<input type="checkbox"/>	Conduct Annual Review of Policies and Procedures	
<input type="checkbox"/>	Conduct Annual Testing of the Business Continuity / Disaster Recovery Plan	