

UPDATES TO FREQUENTLY ASKED QUESTIONS ABOUT FORM 13F

The Division of Investment Management staff updated the [Form 13F FAQs](#) to further clarify the definition of “Section 13(f) securities” and provide additional information about options and warrants in connection with Form 13F reporting.

In particular, the staff updated:

- ▶ FAQ 7 – definition of Section 13(f) securities set forth in rule 13f-1(c) under the Securities Exchange Act of 1934; and
- ▶ FAQ 43 – reporting options and warrants.

The Investment Management Division works to:

- ▲ protect investors
- ▲ promote informed investment decisions and
- ▲ facilitate appropriate innovation in investment products and services

through regulating the asset management industry.

If you have any questions about technical issues, please contact:

SEC Office of Information Technology

Filer Technical Support (press 3 for IT Technical Support and 5 for IM Filer Support)

Phone: 202.551.8900

If you have substantive questions about Form 13F, please contact:

SEC Division of Investment Management Chief Counsel's Office/Public Inquiry

Phone: 202.551.6825 (press 1 for inquiries about Form 13F)

Email: IMOCC@sec.gov

