

UPDATES TO FREQUENTLY ASKED QUESTIONS ABOUT FORM 13F

The Division of Investment Management staff updated the Form 13F FAQs to reflect the transition from the text-based Form 13F to the new online form and to provide additional clarification about the availability of confidential treatment.

Among other items, the staff updated:

- ▲ FAQ 16 - EDGAR Filer Manual Information
- ▲ FAQ 23 - Filer Support Information
- ▲ FAQ 24 - Form 13F Software
- ▲ FAQ 52 - Availability of Confidential Treatment Generally
- ▲ FAQ 57 - Non-Risk Arbitrage Confidential Treatment
- ▲ FAQ 60 - Additional Information Regarding Online Form and XML Information Table

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

