IM Information Update

OCTOBER 2013 | IM-INFO-2013-11

UPDATES TO FREQUENTLY ASKED QUESTIONS ABOUT FORM 13F

The Division of Investment Management staff updated the Form 13F FAQs to:

- FAQ 50b Expand the size of the voting authority column on Form 13F to cure the temporary limitation that existed when the Form 13F Information Table was converted to XML format on May 20, 2013.
- ▲ FAQ 57 Incorporate recent staff guidance about confidential treatment requests for an ongoing program of acquisition or disposition in a security that is required to be reported on Form 13F. See IM Guidance Update No. 2013-08, Form 13F Confidential Treatment Requests Based on a Claim of Ongoing Acquisition/ Disposition Program.

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

