

**MEMO# 26646**

November 6, 2012

## **SEC Announces Assistance to Filers Affected by Hurricane Sandy**

[26646]

November 6, 2012

TO: ACCOUNTING/TREASURERS MEMBERS No. 17-12  
CLOSED-END INVESTMENT COMPANY MEMBERS No. 73-12  
COMPLIANCE MEMBERS No. 19-12  
INVESTMENT ADVISER MEMBERS No. 42-12  
OPERATIONS COMMITTEE No. 42-12  
SEC RULES MEMBERS No. 102-12  
SMALL FUNDS MEMBERS No. 36-12 RE: SEC ANNOUNCES ASSISTANCE TO FILERS AFFECTED BY HURRICANE SANDY

The Securities and Exchange Commission is preparing relief measures that would extend filing deadlines for those affected by Hurricane Sandy and its aftermath.

On October 29, the SEC posted notice on its website that it understood filers may have difficulty making filings due to the weather emergency, that filers “should file when you are able,” and that the Divisions would handle requests for filing date adjustments on a case by case basis. [\[1\]](#)

On November 5, the SEC issued a press release stating that:

SEC staff are preparing relief measures that are expected to include extensions of filing deadlines for any filing due during the period from October 29, 2012 to November 20, 2012 for publicly traded companies, investment companies, investment advisers, other persons with filing obligations, accountants, brokerage firms, and transfer agents, among others. It is anticipated that the deadline for any such filing would be extended to November 21, 2012, and the scope of the relief measures would extend to any individual and entity with a filing obligation that cannot file timely due to Hurricane Sandy and its aftermath. The staff will also consider requests for additional relief on a case-by-case basis. [\[2\]](#)

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**endnotes**

[1] See <http://sec.gov/sandyinfo.htm>.

[2] See <http://www.sec.gov/news/press/2012/2012-220.htm>.

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