

§ 200.80b

17 CFR Ch. II (4–1–10 Edition)

[See footnotes at end of table]

Description	Pursuant to section—
Report of independent auditors examining records of investment companies.	17(f)
Application by other than registrant for order of Commission declaring corporate name of registrant is misleading or deceptive.	35(d)
Request by company for certificate to be issued to Secretary of Treasury.	(4)
Proxy soliciting material	20(a) <sup>5</sup>
Initial statement of beneficial ownership of securities by officers, directors and other specified insiders of registered closed-end investment companies, and changes in such ownership.	30(f)
Application for exemption from provisions of the Act and other relief.	2(a)(9), 3(b)(2), 6 (b), (c), (d), 7 (d), 10 (e), (f), 11 (a), (c), 12 (d) (1), (d)(2), 14(a), 15 (a), 16(a), 17 (a), (b), (d), (e), 18(f), 22(d), 23 (b) (5), (c)(3), 24(d), 26(a) (2)(C), 28(c), 35(d), and others.
Statement of transactions—exemption from provisions of section 10(f).	10(f)
Application for an ineligible person to serve as officer, director, etc. of a registered investment company.	9(b)
Request for advisory report of the Commission relating to the reorganization of registered investment company.	25(b)
Report of repurchase of its own securities by a closed-end company.	23(c)
Sales literature regarding securities of certain investment companies.	24(b)
Statement of the Federal Savings and Loan Corporation relating to the exemption of certain issuers.	6(a)(4)
Report submitted pursuant to an order of the Commission.	
Documents and records resulting from derivative or representative law suits.	33

Footnotes:  
<sup>1</sup> Section 15(d)—Securities Exchange Act of 1934.  
<sup>2</sup> Section 12(b)—Securities Exchange Act of 1934.  
<sup>3</sup> Section 12(g)—Securities Exchange Act of 1934.  
<sup>4</sup> Section 851(e)(1) of the Internal Revenue Code of 1954 is applicable.  
<sup>5</sup> Regulation 14 under the Securities Exchange Act of 1934 is applicable (17 CFR 240.14a–1 *et seq.*).

*Miscellaneous*

Requests or petitions that a change in the Commission's rules, regulations or forms be made; comments on proposed rules, regulations or forms; issuance, amendment or repeal of rules, regulations or forms promulgated under the various Acts administered by the Commission.

Requests for no-action and interpretative letters and responses thereto.

Transcripts of proceedings in public hearings including testimony, exhibits received

in evidence, intermediate decisions, oral arguments, motions, briefs, exceptions.

Commission findings, opinions, orders, rulings and notices issued for public release.

Final opinions of the Commission, including concurring and dissenting opinions, as well as orders made by the Commission in the adjudication of cases.

A record of the final votes of each member of the Commission in every Commission proceedings concluded after July 1, 1967.

Hearings and comments on proposed rules or statements of policy, etc., except where the writer requests that his comments not be made public.

Periodic reports filed by the International Bank for Reconstruction and Development under Regulation BW—Rules 1 to 4, section 15(a) of the Bretton Woods Agreement Act (17 CFR part 285).

Periodic reports filed by the Inter-American Development Bank, pursuant to Regulation IA (17 CFR part 286) adopted pursuant to section 11(a) of the Inter-American Bank Act.

Periodic reports filed by the Asian Development Bank, pursuant to Regulation AD (17 CFR part 287) adopted pursuant to section 11(a) of the Asian Development Bank Act.

Copies of papers filed in court, and papers and documents received from courts, are primarily for the use of the Commission attorneys and other members of the staff. These may not always be complete and accurate and may contain nonpublic staff notations. However, in appropriate situations, with the approval of the Office of the General Counsel, examination of such material may be made or copies obtained as a matter of courtesy.

Statements of policy and interpretations which have been adopted by the Commission and are not published in the FEDERAL REGISTER.

Administrative staff manuals and instructions to the staff that affect a member of the public.

Reports by the Commission to the Congress as a whole.

Notices of Commission meetings announced to the public as described in §200.403; announcements of Commission action to close a meeting, or any portion thereof, as described in §200.404(b) and §200.405(c); and certifications by the General Counsel, pursuant to §200.406, that a Commission meeting, or any portion thereof, may be closed to the public.

[41 FR 44696, Oct. 12, 1976, as amended at 42 FR 14693, Mar. 16, 1977]

§ 200.80b Appendix B—SEC releases.

Free mailing list distribution of releases has been discontinued by the Commission because of rising costs and staff limitations. However, the texts of all releases under the

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various Acts, the corporate reorganization releases, and the litigation releases are contained in the SEC Docket, which may be purchased through the Superintendent of Documents as described in §200.80c of this part. The Statistical series releases are contained in the *SEC Monthly Statistical Review*, which also can be obtained by purchase through the Superintendent of Documents.

[40 FR 1009, Jan. 6, 1975, as amended at 49 FR 12686, Mar. 30, 1984; 52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987]

### § 200.80c Appendix C—Rules and miscellaneous publications available from the Government Printing Office.

(a) The current rules of the Commission are not published by the Commission in pamphlet form. All SEC public rules and regulations, including its Rules of Practice, are contained in title 17 of the Code of Federal Regulations, which also is available for purchase from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. New rules and rules changes, and other Commission releases, except statistical releases, also are published in the FEDERAL REGISTER as they are adopted.

(b) Copies of the following miscellaneous publications may be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Please address to him directly all inquiries, orders and payments concerning the following publications:

1. *Reports.*

SEC Annual Report to the Congress.

2. *Periodicals.*

Official Summary. A monthly summary of securities transactions and holdings reported under the provisions of the Securities Exchange Act of 1934, the Public Utility Holding Company Act of 1935, and the Investment Company Act of 1940 by officers, directors, and certain other persons.

SEC Monthly Statistical Review. A monthly publication containing data on round-lot and odd-lot share volume in stock exchanges, OTC volume in selected securities, block distributions, securities registrations and offerings, net change in corporate securities outstanding, working capital of U.S. corporations, assets of non-insured pension funds, Rule 144 filings and 8K reports.

Directory of Companies Filing Annual Reports with the Securities and Exchange Commission under the Securities Exchange Act of 1934. Published annually. Lists companies alphabetically and classified by industry groups according to the Standard Industrial

Classification Manual of the Bureau of the Budget.

[40 FR 1010, Jan. 6, 1975, as amended at 49 FR 12686, Mar. 30, 1984; 52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987]

### § 200.80d Appendix D—Other publications available from the Commission.

(a) Limited amounts of the following materials among others are available free of charge upon request to the Commission's Publications Section, Public Reference Branch, 202-272-7460:

Work of the Securities and Exchange Commission.

Blank copies of all forms used under each of the Acts administered by the Commission.

(b) Facsimile copies of other SEC publications which are out of print may be obtained through the Commission's Public Reference Section, at the cost of the copying service to be performed by the commercial copier employed to do the copying. Purchasers of copies will be billed by the copier. An example of the publications which are available in this way is the Litigation Actions and Proceedings Bulletin.

[52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987]

### § 200.80e Appendix E—Schedule of fees for records services.

*Search and review services:* Up to one half hour total—No fee. For each one half hour or fraction thereof of chargeable service—up to GS-11 employee performing service: \$8.00; GS-12 or above employee performing service: \$14.00.

*Attestation with Commission seal:* \$4.00

*Duplication services:* The following duplication services are available. The stated time for delivery in each case begins to run only after receipt of the material by the contractor; if files cannot immediately be made available by the Commission, the time of shipment will be affected.

*Regular service.* Paper copies of original paper copies, or from microfiche accessible to the contractor, will be shipped within seven calendar days after the contractor receives the order and material at \$0.24 per page, exclusive of any applicable shipment cost and sales taxes.

*Other services.* The Commission's dissemination contractor also provides a wide range of additional regulated dissemination services through the Commission's public reference room. Two offsite services also are provided at prices that are regulated: microfiche subscriptions and watch services. Information concerning the availability of all dissemination services may be obtained by writing to