

**§ 249.510**

**§ 249.510 Form 10-M, consent to service of process by a nonresident general partner of a broker-dealer firm.**

This form shall be filed pursuant to Rule 15b1-5 (§240.15b1-5 of this chapter) by each nonresident general partner of a broker-dealer firm registered or applying for registration pursuant to section 15 of the Act.

[33 FR 18995, Dec. 20, 1968]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 10-M, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**Subpart G—Forms for Reports To Be Made by Certain Exchange Members, Brokers, and Dealers**

**§ 249.617 Form X-17A-5, information required of certain brokers and dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5, § 240.17a-10 and § 240.17a-11, and § 240.17a-12 of this chapter.**

Appropriate parts of this form shall be used by every broker or dealer required to file reports under §240.17a-5(a), (b), and (d), §240.17a-10(a), and §240.17a-11, and §240.17a-12 of this chapter.

(Secs. 15, 17 and 23, of the Securities Exchange Act of 1934 (15 U.S.C. 78o, 78q, and 78w))

[49 FR 43455, Oct. 29, 1984]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-17A-5, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§ 249.618 Form BD-Y2K, information required of broker-dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5 of this chapter.**

This form shall be used by every broker-dealer required to file reports under §240.17a-5(e) of this chapter.

[63 FR 37674, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form BD-Y2K, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**17 CFR Ch. II (4-1-10 Edition)**

**§ 249.619 Form TA-Y2K, information required of transfer agents pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17Ad-18 of this chapter.**

This form shall be used by every registered transfer agent required to file reports under §240.17Ad-18 of this chapter.

[63 FR 37694, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-Y2K, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

**§§ 249.620-249.634 [Reserved]**

**§ 249.635 Form X-17A-19, report by national securities exchanges and registered national securities associations of changes in the membership status of any of their members.**

This form shall be completed and filed by each national securities exchange or registered national securities association as required by §240.17a-19 of this chapter within 5 business days of the occurrence of the initiation of the membership of any person or the suspension or termination of the membership of any of its members.

[45 FR 39841, June 12, 1980]

**§ 249.636 [Reserved]**

**§ 249.637 Form ATS, information required of alternative trading systems pursuant to §242.301(b)(2) of this chapter.**

This form shall be used by every alternative trading system to file required notices, reports and amendments under §242.301(b)(2) of this chapter.

[63 FR 70933, Dec. 22, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ATS, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.