

**§ 270.30b1-6T**

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

registered management investment company that has filed a registration statement with the Commission registering its securities for the first time under the Securities Act of 1933 is relieved of this reporting obligation with respect to any reporting period or portion thereof prior to the date on which that registration statement becomes effective or is withdrawn.

[69 FR 11264, Mar. 9, 2004]

**§ 270.30b1-6T Weekly portfolio report for certain money market funds.**

(a) *Notice and portfolio reports.* If the market-based NAV of a money market fund on any business day (“report date”) is less than 99.75 percent of the fund’s stable net asset value per share or stable price per share pursuant to § 270.2a-7(c)(1) (“stable NAV”), the fund must, by electronic mail sent to the electronic address [mmfweeklyholdings@sec.gov](mailto:mmfweeklyholdings@sec.gov):

(1) Notify the Commission that its NAV is less than 99.75 percent of its stable NAV, and provide the Commission with a portfolio schedule as of the report date, promptly but in no event later than the next business day after the report date (unless the fund is currently submitting reports pursuant to this section); and

(2) Provide the Commission a portfolio schedule as of the last business day of each week, no later than the second business day of the following week, until the fund’s market-based NAV as of such day is 99.75 percent of its stable NAV or greater.

(b) *Definitions.* For purposes of this section:

(1) *Market-based NAV* means a money market fund’s net asset value per share calculated using available market quotations or an appropriate substitute approved by the fund’s board of directors as specified in the procedures that the fund has adopted in accordance with § 270.2a-7(c)(7) or, if the fund does not value securities using the amortized cost method, the fund’s current net asset value per share calculated in accordance with § 270.2a-4 (without regard to § 270.2a-7).

(2) *Money market fund* means an open-end management investment company or series thereof that is registered under the Investment Company Act

and is regulated as a money market fund under § 270.2a-7.

(3) *Portfolio schedule* means a document prepared in Microsoft Excel format that contains the following information:

(i) With respect to each money market fund and class thereof,

(A) Name of the money market fund and class;

(B) SEC file number of the money market fund;

(C) Net asset value per share used to effect shareholder transactions;

(D) Most recent market-based net asset value (including the value of any capital support agreement);

(E) Most recent market-based net asset value (excluding the value of any capital support agreement);

(F) Date as of which the most recent market-based net asset value was calculated;

(G) Total assets of the fund;

(H) Total net assets of the fund; and

(I) Number of shares outstanding; and

(ii) With respect to each security held by the money market fund:

(A) Name of the security;

(B) CUSIP number (if any);

(C) Principal amount;

(D) Maturity date as determined under § 270.2a-7;

(E) Final maturity date, if different from the maturity date as determined under § 270.2a-7;

(F) Categorization of the security’s status as a “First Tier Security,” “Second Tier Security” or a security that is no longer an “Eligible Security” under § 270.2a-7;

(G) The most recent market-based price (including the value of any capital support agreement), or appropriate substitute for such price, in which case the portfolio schedule or an exhibit to it must describe with reasonable specificity the appropriate substitute;

(H) The most recent market-based price (excluding the value of any capital support agreement), or appropriate substitute for such price, in which case the portfolio schedule or an exhibit to it must describe with reasonable specificity the appropriate substitute;

(I) The amortized cost value; and

(J) In the case of a tax-exempt security, whether there is a demand feature, as defined in §270.2a-7(a)(8).

(c) *Nonpublic information.* Information provided to the Commission pursuant to this section shall be nonpublic to the extent permitted by law.

(d) *Expiration.* This section will expire on September 17, 2010.

EFFECTIVE DATE NOTE: At 74 FR 48380, Sept. 23, 2009, §270.30b1-6T was added, effective September 18, 2009 through September 17, 2010. At 75 FR 10117, Mar. 4, 2010, the effectiveness of §270.30b1-6T was extended to December 1, 2010.

EFFECTIVE DATE NOTE: At 75 FR 10117, Mar. 4, 2010, §270.30b1-6T was amended by revising paragraph (d), effective May 5, 2010. For the convenience of the user, the revised text is set forth as follows:

**§ 270.30b1-6T Weekly portfolio report for certain money market funds.**

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(d) *Expiration.* This section will expire on December 1, 2010.

**§ 270.30b1-7 Monthly report for money market funds.**

(a) *Report.* Every registered open-end management investment company, or series thereof, that is regulated as a money market fund under §270.2a-7 must file with the Commission a monthly report of portfolio holdings on Form N-MFP (§274.201 of this chapter), current as of the last business day of the previous month, no later than the fifth business day of each month.

(b) *Public availability.* The Commission will make the information filed on Form N-MFP available to the public 60 days after the end of the month to which the information pertains.

[75 FR 10117, Mar. 4, 2010]

EFFECTIVE DATE NOTE: At 75 FR 10117, Mar. 4, 2010, §270.30b1-7 was added, effective May 5, 2010.

**§ 270.30b2-1 Filing of reports to stockholders.**

(a) Every registered management investment company shall file a report on Form N-CSR (§§ 249.331 and 274.128 of this chapter) not later than 10 days after the transmission to stockholders of any report that is required to be

transmitted to stockholders under §270.30e-1.

(b) A registered investment company shall file with the Commission a copy of every periodic or interim report or similar communication containing financial statements that is transmitted by or on behalf of such registered investment company to any class of such company's security holders and that is not required to be filed with the Commission under paragraph (a) of this section. The filing shall be made not later than 10 days after the transmission to security holders.

[68 FR 5366, Feb. 3, 2003]

**§ 270.30d-1 Filing of copies of reports to shareholders.**

A registered management investment company, other than a small business investment company registered on Form N-5 (§§ 239.24 and 274.5 of this chapter), that is required to file annual and quarterly reports pursuant to section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a) or 78o(d)) shall satisfy its requirement to file such reports by the filing, in accordance with the rules and procedures specified therefor, of reports on Form N-CSR (§§ 249.331 and 274.128 of this chapter) and Form N-Q (§§ 249.332 and 274.130 of this chapter). A registered unit investment trust or a small business investment company registered on Form N-5 that is required to file annual and quarterly reports pursuant to section 13(a) or 15(d) of the Securities Exchange Act of 1934 shall satisfy its requirement to file such reports by the filing, in accordance with the rules and procedures specified therefor, of reports on Form N-SAR (§§ 249.330 and 274.101 of this chapter).

[69 FR 11264, Mar. 9, 2004]

**§ 270.30e-1 Reports to stockholders of management companies.**

(a) Every registered management company shall transmit to each stockholder of record, at least semi-annually, a report containing the information required to be included in such reports by the company's registration statement form under the 1940 Act, except that the initial report of a newly registered company shall be made as of