(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.

* * * * * * *

(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 (§§ 229.24 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
§ 270.30e-1  17 CFR Ch. II (4–1–10 Edition)

a date not later than the close of the fiscal year or half-year occurring on or after the date on which the company’s notification of registration under the 1940 Act is filed with the Commission.

(b) If any matter was submitted during the period covered by the shareholder report to a vote of shareholders, through the solicitation of proxies or otherwise, furnish the following information:

(1) The date of the meeting and whether it was an annual or special meeting.

(2) If the meeting involved the election of directors, the name of each director elected at the meeting and the name of each other director whose term of office as a director continued after the meeting.

(3) A brief description of each matter voted upon at the meeting and the number of votes cast for, against or withheld, as well as the number of abstentions and broker non-votes as to each such matter, including a separate tabulation with respect to each matter or nominee for office.

*Instruction.* The solicitation of any authorization or consent (other than a proxy to vote at a shareholders’ meeting) with respect to any matter shall be deemed a submission of such matter to a vote of shareholders within the meaning of this paragraph (b).

(c) Each report shall be transmitted within 60 days after the close of the period for which such report is being made.

(d) An open-end company may transmit a copy of its currently effective prospectus or Statement of Additional Information, or both, under the Securities Act, in place of any report required to be transmitted to shareholders by this section, provided that the prospectus or Statement of Additional Information, or both, include all the information that would otherwise be required to be contained in the report by this section. Such prospectus or Statement of Additional Information, or both, shall be transmitted within 60 days after the close of the period for which the report is being made.

(e) The period of time within which any report prescribed by this rule shall be transmitted may be extended by the Commission upon written request showing good cause therefor. Section 270.0–5 shall not apply to such requests.

(f)(1) A company will be considered to have transmitted a report to shareholders who share an address if:

(i) The company transmits a report to the shared address;

(ii) The company addresses the report to the shareholders as a group (for example, “ABC Fund [or Corporation] Shareholders,” “Jane Doe and Household,” “The Smith Family”) or to each of the shareholders individually (for example, “John Doe and Richard Jones”); and

(iii) The shareholders consent in writing to delivery of one report.

(2) The company need not obtain written consent from a shareholder under paragraph (f)(1)(iii) of this section if all of the following conditions are met:

(i) The shareholder has the same last name as the other shareholders, or the company reasonably believes that the shareholders are members of the same family;

(ii) The company has transmitted a notice to the shareholder at least 60 days before the company begins to rely on this section concerning transmission of reports to that shareholder. The notice must be a separate written statement and:

(A) State that only one report will be delivered to the shared address unless the company receives contrary instructions;

(B) Include a toll-free telephone number or be accompanied by a reply form that is pre-addressed with postage provided, that the shareholder can use to notify the company that he or she wishes to receive a separate report;

(C) State the duration of the consent;

(D) Explain how a shareholder can revoke consent;

(E) State that the company will begin sending individual copies to a shareholder within 30 days after the company receives revocation of the shareholder’s consent; and

(F) Contain the following prominent statement, or similar clear and understandable statement, in bold-face type: “Important Notice Regarding Delivery of Shareholder Documents.” This statement also must appear on the envelope in which the notice is delivered.
§ 270.31a–1 Records to be maintained by registered investment companies, certain majority-owned subsidiaries thereof, and other persons having transactions with registered investment companies.

(a) Every registered investment company, and every underwriter, broker, dealer, or investment adviser which is a majority-owned subsidiary of such a security, and every underwriter, broker, dealer, or investment adviser which is a majority-owned subsidiary of such a security, and every underwriter, broker, dealer, or investment adviser which is a majority-owned subsidiary of such a security, and every underwriter, broker, dealer, or investment adviser which is a majority-owned subsidiary of such a security, and every underwriter, broker, dealer, or investment adviser which is a majority-owned subsidiary of such a