

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-271-2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

Subpart E—Forms for Electronic Filing

SOURCE: 50 FR 40485, Oct. 4, 1985, unless otherwise noted.

§ 274.401 [Reserved]

§ 274.402 Form ID, uniform application for access codes to file on EDGAR.

Form ID must be filed by registrants, third party filers, or their agents, to whom the Commission previously has not assigned a Central Index Key (CIK) code, to request the following access codes to permit filing on EDGAR:

(a) Central Index Key (CIK)—uniquely identifies each filer, filing agent, and training agent.

(b) CIK Confirmation Code (CCC)—used in the header of a filing in conjunction with the CIK of the filer to ensure that the filing has been authorized by the filer.

(c) Password (PW)—allows a filer, filing agent or training agent to log on to the EDGAR system, submit filings, and change its CCC.

(d) Password Modification Authorization Code (PMAC)—allows a filer, filing agent or training agent to change its Password.

[69 FR 22711, Apr. 26, 2004]

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§ 274.403 Form SE, form for submission of paper format exhibits by electronic filers.

This form shall be used by an electronic filer for the submission of any paper format document relating to an otherwise electronic filing, as provided in rule 311 of Regulation S-T (§232.311 of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SE, see the List of CFR Sections Affected, which appears in the

Finding Aids section of the printed volume and on GPO Access.

§ 274.404 Form TH—Notification of reliance on temporary hardship exemption.

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by rule 201(a) of Regulation S-T (§232.201(a) of this chapter).

[58 FR 14861, Mar. 18, 1993]

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PART 275—RULES AND REGULATIONS, INVESTMENT ADVISERS ACT OF 1940

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275.0-2 General procedures for serving non-residents.

275.0-3 References to rules and regulations.

275.0-4 General requirements of papers and applications.

275.0-5 Procedure with respect to applications and other matters.

275.0-6 Incorporation by reference in applications.

275.0-7 Small entities under the Investment Advisers Act for purposes of the Regulatory Flexibility Act.

275.202(a)(1)-1 Certain transactions not deemed assignments.

275.202(a)(11)-1 Certain broker-dealers.

275.203-1 Application for investment adviser registration.

275.203-2 Withdrawal from investment adviser registration.

275.203-3 Hardship exemptions.

275.203(b)(3)-1 Definition of “client” of an investment adviser.

275.203(b)(3)-2 Methods for counting clients in certain private funds.

275.203A-1 Eligibility for SEC registration; switching to or from SEC registration.

275.203A-2 Exemptions from prohibition on Commission registration.

275.203A-3 Definitions.

275.203A-4 Investment advisers registered with a State securities commission.

275.203A-5—275.203A-6 [Reserved]

275.204-1 Amendments to application for registration.

275.204-2 Books and records to be maintained by investment advisers.

275.204-3 Written disclosure statements.