Securities and Exchange Commission

Section 274.130 is also issued under 15 U.S.C. 7202 and 7241.

SOURCE: 33 FR 19003, Dec. 20, 1968, unless otherwise noted.

§ 274.0–1 Availability of forms.

(a) This part identifies and describes the forms prescribed for use under the Investment Company Act of 1940.

(b) Any person may obtain a copy of any form prescribed for use in this part by written request to the Securities and Exchange Commission, 100 F Street, NE., Washington, DC 20549. Any person may inspect the forms at this address and at the Commission’s regional offices. (See § 200.11 of this chapter for the addresses of SEC regional offices)

§ 274.10 Form N–8A, for notification of registration.

This form shall be used as the notification of registration filed with the Commission pursuant to section 8(a) of the Investment Company Act of 1940.

EDITORIAL NOTE: For Federal Register citations affecting Form N–8A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.11 Form N–1, registration statement of open-end management investment companies.

Form N–1 shall be used as the registration statement to be filed pursuant to Section 8(b) of the Investment Company Act of 1940 by open-end management investment companies that are separate accounts of insurance companies. This form shall also be used for registration under the Securities Act of 1933 of the securities of all such companies. This form is not applicable for small business investment companies which register pursuant to §§ 239.24 and 274.5 of this chapter.


EDITORIAL NOTE: For Federal Register citations affecting Form N–1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.11A Form N–1A, registration statement of open-end management investment companies.

Form N–1A shall be used as the registration statement to be filed pursuant to section 8(b) of the Investment Company Act of 1940 by open-end management investment companies other than separate accounts of insurance companies or companies which issue periodic payment plan certificates or which are sponsors or depositors of companies issuing such certificates. This form shall be used for registration under the Securities Act of 1933 of the securities of all open-end management investment companies other than registered separate accounts of insurance companies. This form is not applicable for small business investment companies which register pursuant to §§ 239.24 and 274.5 of this chapter.


EDITORIAL NOTE: For Federal Register citations affecting Form N–1A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.