

RISK CATEGORIES—Continued
[Figure 2]

| | |
|---------------|--|
| Class 7 | Radioactive Materials, yellow label III, yellow label II, and white label I. |
| Class 8 | Liquids PG II, III Solids PG I, II, III. |

Category "C" (Minimum Weight)

The materials listed in Category "C" are materials that present the least amount of risk to the transportation system.

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|---------------|---|
| Class 2 | 2.2 Nonflammable Gas. |
| Class 6 | Division 6.1 Packing Group III. |
| Class 7 | All other RAM (LSA, LTD QTY, Instruments and Articles). |
| Class 9 | Miscellaneous Dangerous Goods (ORM-D and Consumer Commodity). |

Note: This guidance is not intended to replace the experienced judgment to a special agent who is convinced, based on the evidence and facts of a case, that the failure of an air carrier, shipper, freight forwarder, or passenger to follow established regulations has posed a risk to aviation safety.

Issued in Washington, DC on April 14, 1999.

Jane F. Garvey,
Administrator.

[FR Doc. 99-9983 Filed 4-20-99; 8:45 am]

BILLING CODE 4910-13-M

SECURITIES AND EXCHANGE COMMISSION

17 CFR Parts 202, 240, 242 and 249

[Release No. 34-41297; File No. S7-12-98]

RIN 3235-AH41

Regulation of Alternative Trading Systems; Technical Amendment

AGENCY: Securities and Exchange Commission.

ACTION: Final rule; technical amendment and revised compliance date.

SUMMARY: The Securities and Exchange Commission is modifying the compliance dates for Rule 301(b)(3) and making a technical change to Rule 202.3. These and other rules and rule amendments relate to the regulation of alternative trading systems and exchanges and were published on December 22, 1998 (63 FR 70844). The effective date for the other rules and amendments published in 63 FR 70844 remains April 21, 1999, except for the effective date for §§ 242.301(b)(5)(i)(D) and (E) and §§ 242.301(b)(6)(i)(D) and (E), which remains April 1, 2000.

DATES: Effective Date: April 21, 1999 for amendment to § 202.3.

Compliance Date: Alternative trading systems must comply with § 242.301(b)(3) with respect to the 50 securities listed in Schedule A by August 23, 1999; with respect to the securities listed on Schedules A and B by September 28, 1999; with respect to the securities listed on Schedules A, B and C by April 25, 2000; and with respect to all securities by June 20, 2000.

FOR FURTHER INFORMATION CONTACT:

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SUPPLEMENTARY INFORMATION:

I. Background

On December 8, 1998, the Securities and Exchange Commission ("Commission") adopted new rules and rule amendments to allow alternative trading systems to choose whether to register as national securities exchanges, or to register as broker-dealers and comply with additional requirements under Regulation ATS, depending on their activities and trading volume.¹ The effective date for most of these new rules and rule amendments is April 21, 1999. The Commission stated in the adopting release that, prior to April 21, 1999, it would publish a list of those securities with respect to which alternative trading systems must comply with Rule 301(b)(3) on April 21, 1999 and those securities with respect to which alternative trading systems must comply with Rule 301(b)(3) on August 30, 1999. Rule 301(b)(3) requires an alternative trading system to provide to a national securities exchange or national securities association, for inclusion in the public quotation system, the prices and sizes of its best priced buy and sell orders, that are displayed to more than one person, in each covered security in which the alternative trading system represents 5% or more of the total trading volume.²

¹ Securities Exchange Act Release No. 40760 (Dec. 8, 1998), 63 FR 70844 (Dec. 22, 1998).

² 17 CFR 242.301(b)(3). For purposes of Regulations ATS, a "covered security" includes all exchange-listed, Nasdaq NM securities, and Nasdaq Small Cap securities, other than debt and convertible securities. See Rule 11Ac1-1(a)(6), 17

II. Delay of the Compliance Dates for Rule 301(b)(3)

One major alternative trading system has indicated that it will be unable to comply with the requirements of Rule 301(b)(3) by the original compliance dates without putting the operation of its system at serious risk of failure. The operational failure of a major alternative trading system could interfere with the markets as a whole. Accordingly, the Commission believes it necessary to adjust the compliance dates for Rule 301(b)(3) as follows:

August 23, 1999: Compliance with Rule 301(b)(3) with respect to the 50 Nasdaq securities listed on Schedule A, attached in the appendix.

September 28, 1999: Compliance with Rule 301(b)(3) for the 50% of Nasdaq securities listed on Schedules A and B, attached in the appendix.

April 25, 2000: Compliance with Rule 301(b)(3) for the 75% of Nasdaq securities listed on Schedules A, B, and C, attached in the appendix.

June 20, 2000: Compliance with Rule 301(b)(3) for all Nasdaq securities.

Schedules A, B, and C were created by ranking all covered securities traded on Nasdaq by their January 1999 volume, and including an equal number of securities from each decile. Some securities that were not traded on Nasdaq in January 1999 may commence trading on Nasdaq subsequently. Alternative trading systems may wait until June 20, 2000 to comply with Rule 301(b)(3) with respect to these securities.

All other compliance dates for the rules and rule amendments adopted last December remain the same. The Commission encourages those alternative trading systems that are able to comply with Rule 301(b)(3) on April 21, 1999 to do so.

Alternative trading systems are reminded that Rule 301(b)(3) only requires alternative trading systems to "provide to a national securities exchange or national securities association" their best priced orders in covered securities in which they represent 5% or more of all trading volume.³ Accordingly, in the absence of a mechanism for publicly displaying those alternative trading systems' orders in exchange-listed securities, alternative trading systems will not be violating Rule 301(b)(3) if alternative trading systems' best priced orders in those securities in which they trade 5% or more of the volume are not publicly displayed. When a mechanism is developed to display alternative trading systems' orders in exchange-listed securities, Rule 301(b)(3) requires them to cooperate in linking with the market or markets providing that mechanism. Under Section 553(d) of the Administrative Procedure Act,⁴ publication of a substantive rule not less than 30 days before its effective date is required except as otherwise provided by the agency for good cause. Because the change extends compliance dates, the Commission finds that there is good cause for doing so.

III. Rule of Practice 202.3

On December 8, 1998, the Commission adopted changes to Rule of Practice 202.3(b)(2) regarding the processing of exchanges' applications for registration as national securities exchanges or exemption from registration based on such exchanges' limited volume of transactions. These amendments require the Commission to grant registration or institute proceedings to determine whether registration should be denied within 90 days of the date of filing of an application. Section 19(a)(1) of the Securities Exchange Act of 1934 ("Exchange Act"), however, requires the Commission to grant an exchange's application for registration as a national securities exchange, or institute proceedings to determine whether registration should be denied, within 90 days of the date of publishing notice of the exchange's filing of such application. Consequently, the Commission is making a technical correction to Rule 202.3(b)(2) to conform to the time periods in the statute. The Commission finds, in accordance with Section 553(b)(3)(A) of the Administrative Procedure Act,⁵ that the amendment to Rule 202.3 relates

solely to agency organization, procedures, or practice, and does not relate to a substantive rule. Accordingly, notice and opportunity for public comment are unnecessary, and publication of the amendment 30 days before its effective date of April 21, 1999 is also unnecessary.

IV. Findings

Section 23(a)(2) of the Exchange Act⁶ requires the Commission to consider the anti-competitive effects of any rules it adopts, and to balance these effects against the benefits that further the purposes of the Exchange Act. Further, Section 2 of the Securities Act of 1933⁷ and Section 3 of the Exchange Act,⁸ as amended by the recently enacted National Securities Markets Improvements Act of 1996,⁹ provide that whenever the Commission is engaged in rulemaking and is required to consider or determine whether an action is necessary or appropriate in the public interest, the Commission also shall consider, in addition to the protection of investors, whether the act will promote efficiency, competition, and capital formation. Because the amendments take steps to assure the fair and orderly activities of the national securities markets and make a conforming correction to a procedural rule, they do not have any anti-competitive effects and they serve to promote efficiency, competition, and capital formation, and are therefore in the public interest.

List of Subjects in 17 CFR Part 202

Administrative practice and procedure, Securities.

Text of Amendment

For the reasons set out in the preamble, Title 17, Chapter II of the Code of Federal Regulations is amended as follows:

PART 202—INFORMAL AND OTHER PROCEDURES

1. The authority citation for Part 202 continues to read in part as follows:

Authority: 15 U.S.C. 77s, 77t, 78d-1, 78u, 78w, 78ll(d), 79r, 79t, 77sss, 77uuu, 80a-37, 80a-41, 80b-9, and 80b-11, unless otherwise noted.

* * * * *

2. The last sentence of paragraph (b)(2) of § 202.3 is revised to read as follows:

§ 202.3 Processing of filings.

* * * * *

(b) * * *
(2) * * * Within 90 days of the date of publication of a notice of the filing of an application for registration as a national securities exchange, or exemption from registration by reason of such exchanges' limited volume of transactions (or within such longer period as to which the applicant consents), the Commission shall by order grant registration, or institute proceedings to determine whether registration should be denied as provided in § 240.19(a)(1) of this chapter.

Dated: April 16, 1999.

By the Commission.

Jonathan G. Katz,
Secretary.

Note: The appendix will not appear in the Code of Federal Regulations.

Appendix

Schedule A

AERTA
AMXX
ASFI
ATEST
BARZ
BCGI
BGMR
BJCT
BPTM
BRIOF
BWCF
CFFC
CINRF
CLHB
CRTQ
EXAR
FRSH
FSFT
FUJIY
GBNK
GCTY
GILD
IMNX
INTC
JAGI
JBOH
JXSB
KASP
LAKE
LCAV
LVEN
LVMHY
MCSC
MLB
MPTBS
NETTW
PAWN
PCBC
PIXR
POSIF
PRTK
SBGI
SPCH
SSRIF
STNRF
TBCC

³ 17 CFR 272.301(b)(3).

⁴ 5 U.S.C. 553(d).

⁵ 5 U.S.C. 553(B)(3)(A).

⁶ 15 U.S.C. 78w(a)(2).

⁷ 15 U.S.C. 77b.

⁸ 15 U.S.C. 78c.

⁹ Pub. L. No. 104-290, 106, 110 Stat. 3416 (1996).

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|-------------------|-------|-------|
| TRID | AERN | AMPI |
| UHCO | AERS | AMRN |
| VRLN | AESPW | AMSC |
| WNMP | AFBC | AMSGB |
| <i>Schedule B</i> | AFCO | AMSO |
| AAABB | AFCX | AMTA |
| AABC | AFIC | AMTD |
| AACE | AFLX | AMVP |
| AAALA | AFSC | AMVPW |
| AAON | AFTXZ | AMWD |
| AASI | AFWY | AMXI |
| AATT | AGAI | AMZN |
| ABAG | AGAM | ANCO |
| ABAN | AGBGC | ANDB |
| ABAX | AGCH | ANDW |
| ABBBY | AGNU | ANGN |
| ABCO | AGRPA | ANIK |
| ABCW | AGRPB | ANLG |
| ABDR | AHAA | ANSR |
| ABERF | AHEPZ | ANSS |
| ABFI | AHWYW | ANST |
| ABOV | AICX | ANTC |
| ABPCA | AIFC | ANTP |
| ABRI | AIND | AORGB |
| ABRX | AINN | APAC |
| ABSC | AIPN | APAGF |
| ABTC | AIRT | APAT |
| ABTE | AKLM | APCC |
| ABTI | AKSY | APCFY |
| ABTX | AKZOY | APFC |
| ACAI | ALCO | APGR |
| ACAM | ALDA | APLX |
| ACAS | ALDNF | APMC |
| ACCOB | ALDV | APOG |
| ACEC | ALFA | APOL |
| ACEI | ALGSF | APPB |
| ACEIW | ALGX | APQCF |
| ACEL | ALHY | AQCR |
| ACEP | ALHYC | ARCAF |
| ACES | ALIF | ARGAC |
| ACHI | ALLB | ARGCD |
| ACLNF | ALLC | ARIAW |
| ACLY | ALLIF | ARLCF |
| ACMI | ALLP | ARMHY |
| ACNAF | ALLR | ARMXF |
| ACRG | ALNT | AROW |
| ACRN | ALOG | ARSD |
| ACRO | ALPH | ARTE |
| ACSEF | ALRC | ARTI |
| ACTM | ALREF | ARTNA |
| ACTN | ALSC | ARTT |
| ACTU | ALTIF | ARTW |
| ACVC | ALTR | ARVX |
| ACYT | ALXN | ASAI |
| ADACE | ALYD | ASAM |
| ADAM | AMAC | ASBC |
| ADAX | AMAR | ASBI |
| ADBE | AMBC | ASBP |
| ADCCW | AMBI | ASDG |
| ADDM | AMCN | ASGR |
| ADECY | AMCRY | ASHA |
| ADMS | AMCT | ASHEW |
| ADPT | AMCV | ASHW |
| ADRN | AMEN | ASIGF |
| ADSK | AMENW | ASII |
| ADTK | AMEP | ASIPY |
| ADTN | AMEPW | ASMLF |
| ADVH | AMES | ASND |
| ADVNA | AMESW | ASNT |
| ADVS | AMFM | ASPCE |
| AEGGF | AMLJ | ASPT |
| AEHR | AMLN | ASPX |
| AEOS | AMMB | ASTE |
| AEPI | AMPBB | ASTI |
| AERL | AMPD | ASTM |
| | AMPDW | ASTNW |

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|-------|-------|-------|
| ASTSF | BEXP | BSTC |
| ASTX | BEYE | BTEK |
| ASVI | BFAM | BTHS |
| ASYCF | BFCI | BTRN |
| ASYM | BFEN | BTSR |
| ASYS | BFSC | BTUI |
| ASYT | BGEN | BTWS |
| ATAC | BGRH | BULL |
| ATCI | BHIKF | BURMY |
| ATEC | BHQU | BUTI |
| ATEN | BHWK | BVAS |
| ATGI | BIAC | BVCC |
| ATLC | BIGC | BVEW |
| ATLCW | BIKR | BVRSF |
| ATLRS | BIMEC | BVSN |
| ATMI | BINC | BWINA |
| ATMS | BIORY | BYFC |
| ATPX | BIPRY | BYND |
| ATRO | BITI | BZET |
| ATSI | BITS | CACC |
| ATYTF | BKSC | CACS |
| AVCO | BKUNA | CADA |
| AVDO | BKUNZ | CAFE |
| AVEC | BLCA | CAFEW |
| AVGN | BLDPF | CAII |
| AVIIW | BLOCA | CAKE |
| AVIR | BLPG | CALC |
| AVND | BLSC | CALM |
| AVTM | BLSI | CALY |
| AWRE | BLUE | CAMP |
| AWWC | BMCC | CANI |
| AXAS | BMCS | CANRC |
| AXLE | BMLS | CARL |
| AXLEW | BMTC | CARS |
| AXNT | BNCM | CARY |
| AXPH | BNGO | CASCW |
| AXSI | BNHN | CASH |
| AXTI | BNHNA | CASL |
| AZIC | BNSOF | CASS |
| AZPN | BNSWF | CAST |
| AZUR | BNTT | CATY |
| AZURW | BOBE | CBBI |
| BAGL | BOBS | CBBO |
| BANC | BOBSW | CBCL |
| BANF | BOGN | CBES |
| BASEA | BOGNW | CBEV |
| BASI | BOKF | CBEVW |
| BATS | BOLD | CBIN |
| BAYB | BONT | CBKN |
| BBHF | BOOL | CBLI |
| BBIOY | BOOM | CBMI |
| BBTK | BORAY | CBRNA |
| BBUC | BOSA | CBRNB |
| BBUCU | BOSWF | CBRYA |
| BBUCW | BOTX | CBSH |
| BCICF | BOYL | CBSI |
| BCORY | BPAO | CBSS |
| BCRX | BPFH | CBTE |
| BCSB | BPLX | CBTSY |
| BCST | BPMI | CBXC |
| BCTI | BPOP | CCAR |
| BDCO | BRCOA | CCBG |
| BDJI | BRCP | CCBL |
| BDMS | BREL | CCBT |
| BDRY | BREW | CCCIW |
| BDRYW | BRGP | CCEE |
| BEAR | BRID | CCEL |
| BEAS | BRKL | CCHE |
| BEAV | BRKT | CCHM |
| BEBE | BRLI | CCLNF |
| BEEF | BRTL | CCON |
| BEERF | BRTLW | CCOW |
| BERW | BSBN | CCPRZ |
| BESIF | BSET | CCRD |
| BEST | BSNX | CCSE |
| BETM | BSRTS | CCSI |

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|-------|-------|-------|
| CCUUY | CMPC | CRDT |
| CDEN | CMPD | CREAF |
| CDIS | CMPL | CRESY |
| CDLI | CMPS | CRFT |
| CDSI | CMPX | CRGN |
| CDSIU | CMRN | CRNSF |
| CDWC | CMSS | CROS |
| CDWN | CMST | CRRB |
| CECE | CMSVD | CRRS |
| CELG | CMSX | CRUS |
| CELL | CMTI | CRXA |
| CELS | CMTID | CRZO |
| CEMX | CMTIW | CRZY |
| CENB | CMTL | CSBF |
| CENI | CMVT | CSBI |
| CEPH | CMWLW | CSGI |
| CERB | CNBA | CSLI |
| CERG | CNBF | CSNRW |
| CEXP | CNBT | CSO |
| CFAC | CNCX | CSPI |
| CFBC | CNDO | CSPLF |
| CFFI | CNDR | CSRE |
| CFIC | CNDS | CSTL |
| CFKY | CNEBF | CTAS |
| CFMT | CNET | CTBC |
| CFON | CNFL | CTBP |
| CFSB | CNKT | CTCOB |
| CFTP | CNNG | CTEA |
| CFWC | CNQR | CTEC |
| CFWY | CNRMF | CTEKW |
| CGCA | CNSI | CTEL |
| CGCOC | CNSO | CTHR |
| CGEN | CNTO | CTIB |
| CGGI | CNYF | CTLG |
| CGII | CODY | CTSH |
| CGRM | CODYU | CTSI |
| CHANF | CODYW | CTWO |
| CHCO | COFI | CTWS |
| CHDX | COGE | CUBA |
| CHERA | COGIF | CUCO |
| CHEX | COHB | CULS |
| CHFC | COHO | CUNO |
| CHGO | COHR | CVAL |
| CHIR | COHT | CVAN |
| CHKE | COHTW | CVAS |
| CHKR | COHU | CVTX |
| CHMD | COKE | CVUS |
| CHMP | COLB | CWCOF |
| CHNG | COLM | CWST |
| CHRW | COLTY | CXIL |
| CHRX | COMMF | CXIM |
| CHRZ | CONW | CXIPY |
| CHUX | COOK | CXSNF |
| CIBN | CORE | CYBGE |
| CICI | CORR | CYCH |
| CINS | CORS | CYCL |
| CITC | COSI | CYCLD |
| CITI | COST | CYLK |
| CITZ | COTT | CYOE |
| CKEYF | COVR | CYPH |
| CLCDF | COYT | CYPHZ |
| CLNTF | CPBI | CYTC |
| CLRP | CPCI | CYTO |
| CLTX | CPCL | CYTR |
| CLWTF | CPDN | DAIEY |
| CLWY | CPIA | DALY |
| CLZR | CPLY | DATC |
| CLZRW | CPSS | DATM |
| CMCO | CPTL | DAYR |
| CMCSA | CPTS | DBCC |
| CMCSK | CPWM | DBII |
| CMGT | CPWR | DBLEW |
| CMIN | CRAI | DBRN |
| CMIV | CRAN | DCAI |
| CMLS | CRBO | DCBK |
| CMMD | CRDN | DCRNW |

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| DCTI | DSTR | EPIE |
| DDIM | DTAGY | EPLTF |
| DDRX | DTII | EPTG |
| DECAF | DTP1 | EQNX |
| DECC | DTSI | EQUI |
| DECK | DUCK | EQUUS |
| DEFI | DUSA | ERIE |
| DEPO | DVID | EROX |
| DESI | DVIDW | EROXC |
| DETC | DVIDZ | ERTH |
| DEVC | DWSN | ESCA |
| DFCO | DWTI | ESCI |
| DFIN | DYNT | ESFT |
| DGAS | DZTK | ESLTF |
| DGIC | EASI | ESMCL |
| DGIT | EBSC | ESNJZ |
| DGTC | EBSI | ESOL |
| DHMS | ECGOF | ESREF |
| DHULZ | ECHO | ESRX |
| DIALY | ECILF | ESSF |
| DIAN | ECIN | ESSI |
| DIEG | ECLP | ESST |
| DIGE | ECOL | ETEC |
| DIBF | ECSGY | ETHCY |
| DIMD | EDAC | ETRC |
| DINEW | EDAPY | EUFA |
| DIPL | EDBR | EUPH |
| DIPLE | EDBRW | EVAN |
| DISH | EDFY | EVMD |
| DISK | EDGE | EVOL |
| DISS | EDMC | EVSNF |
| DIST | EDUSF | EVTC |
| DIYS | EDUT | EWEB |
| DJCO | EFBC | EXAP |
| DKWD | EFBI | EXDS |
| DLPH | EFIC | EXGN |
| DLTDF | EFTC | EXPO |
| DLTK | EGEO | EYES |
| DLTR | EGGS | EZPW |
| DLVRY | EGL | FAHC |
| DMRK | EGLS | FAMCK |
| DNAP | EGRP | FAME |
| DNCC | EIDSY | FARC |
| DNKY | EILLD | FATS |
| DOBQ | EISI | FAUX |
| DOCI | EKFG | FAUXW |
| DOCSF | ELET | FAVS |
| DOCU | ELMG | FBAYF |
| DOCX | ELMS | FBBC |
| DOMZ | ELNK | FBCG |
| DORL | ELRC | FBCI |
| DOSE | ELTKF | FBHC |
| DOTX | ELUXY | FBKP |
| DPAC | ELXS | FBNW |
| DPMI | EMCI | FBRK |
| DPRC | EMCO | FCAP |
| DPTR | EMIS | FCBIB |
| DRAI | EMITF | FCFS |
| DRFNY | EMLTF | FCGI |
| DRIV | EMMS | FCME |
| DRKN | EMON | FCNB |
| DROV | EMPI | FCPY |
| DRRA | ENBRF | FCTR |
| DRTE | ENBX | FCWI |
| DSCI | ENDG | FDCC |
| DSCO | ENET | FDHG |
| DSCOU | ENGL | FDJA |
| DSCOW | ENMD | FDLNA |
| DSCP | ENML | FDLNB |
| DSCS | ENPT | FDPC |
| DSCSW | ENSI | FEIC |
| DSET | ENSW | FERO |
| DSGR | ENTS | FFCH |
| DSGRW | ENVG | FFED |
| DSLGF | ENVY | FFHS |
| DSPT | ENZN | FFIC |

| | | |
|-------|-------|-------|
| FFIN | GALTF | GSFC |
| FFKY | GALXC | GSII |
| FFLC | GASS | GSLA |
| FFOH | GBBK | GSLC |
| FFSL | GBCB | GSLMD |
| FFSX | GBCI | GSMI |
| FFWC | GBCOB | GSNX |
| FFYF | GBCS | GSPT |
| FIBR | GBIX | GSTD |
| FIIF | GBLX | GSTRF |
| FILMW | GBSE | GTAX |
| FINL | GBSEW | GTIM |
| FLBK | GCFC | GTIMZ |
| FLCIW | GCHI | GTIS |
| FLEX | GCLI | GTSG |
| FLFC | GCOM | GTSI |
| FLGS | GCTI | GUAR |
| FLMK | GDCOF | GUCO |
| FLMLY | GDYS | GULF |
| FLSHF | GECM | GUMM |
| FLWR | GEEK | GUSH |
| FLXI | GEER | GWBK |
| FLYT | GEHL | GWRX |
| FMBN | GELX | GYMB |
| FMCO | GENBB | GYRO |
| FMDAY | GEND | GZTC |
| FMFC | GENE | HABC |
| FMSB | GENS | HAHO |
| FMXI | GENSW | HAKI |
| FNBF | GFCO | HARB |
| FNBN | GFLS | HARL |
| FNBP | GGEN | HARS |
| FNBR | GGUY | HAVA |
| FNCE | GIBG | HAWK |
| FNDTF | GICOF | HBAN |
| FNGB | GIFH | HBCCA |
| FNIN | GIFI | HBCO |
| FOBBA | GIGA | HBCOW |
| FONE | GIII | HBFW |
| FOOT | GILTF | HBIX |
| FORL | GKSRA | HBNK |
| FORSF | GLAR | HCBC |
| FOSL | GLBE | HCIA |
| FPGP | GLBK | HCOV |
| FPIC | GLDC | HCSG |
| FRDM | GLGC | HCTLF |
| FRIZ | GLYT | HDIE |
| FRME | GMAI | HDII |
| FRTZ | GMCC | HDL |
| FSACF | GMED | HDNG |
| FSBI | GMTI | HDSK |
| FSCR | GNCI | HDSN |
| FSLA | GNCNF | HDVS |
| FSNM | GNET | HDWY |
| FSPT | GNSA | HEAT |
| FSTC | GNSM | HEI |
| FSTH | GNSSF | HELX |
| FSTW | GNTA | HENL |
| FSVB | GNTX | HERBA |
| FSVP | GOAL | HFGI |
| FTFC | GOLF | HFIT |
| FTHR | GOSB | HFSA |
| FTIC | GOTH | HFVA |
| FTSB | GOTHZ | HGFN |
| FTUS | GPSI | HGIC |
| FUEL | GPTX | HGSI |
| FUELW | GRAN | HHGP |
| FULT | GRCO | HIBB |
| FUNC | GRDL | HIBWF |
| FUND | GRDN | HIBZF |
| FVCX | GREY | HIFN |
| FVNB | GRIL | HKID |
| FWBN | GRIN | HLFC |
| FWRD | GSBI | HLGCF |
| FWRX | GSCI | HLIT |
| GADZ | GSES | HLMD |

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|-------|-------|-------|
| HLRT | IINT | ITEQ |
| HLYW | IISLF | ITGI |
| HMGC | IVI | ITGR |
| HMGN | ILABY | ITIG |
| HMLK | ILCO | ITII |
| HMPS | ILDCY | ITLA |
| HMSC | ILFO | ITRC |
| HMSY | ILOGY | ITSW |
| HNBC | IMAG | ITVU |
| HNCS | IMAL | IUBC |
| HOEN | IMCC | IVAC |
| HOMEF | IMCI | IVISF |
| HOMF | IMCL | IVTC |
| HOWT | IMCO | IWHM |
| HPAC | IMCX | JACO |
| HPBC | IMGN | JADWF |
| HPII | IMON | JANNF |
| HPWR | IMPH | JAPNY |
| HRBC | IMPX | JASN |
| HRLYW | IMPXD | JBHT |
| HRSH | IMSI | JCBS |
| HSKL | IMTKA | JCORZ |
| HTBK | IMTN | JDAS |
| HTCH | IMUL | JDEC |
| HTCO | INAI | JEAN |
| HTEI | INBI | JEFF |
| HTHR | INCC | JJSF |
| HTLD | INDB | JKHY |
| HUBC | INDGF | JLMI |
| HUBG | INEI | JLNY |
| HUMP | INFM | JLNYW |
| HURC | INFR | JMED |
| HWLD | INFU | JNKN |
| HWYM | INIS | JOSB |
| HYBD | INLD | JPSP |
| IATA | INLK | JSBA |
| IATV | INLN | JTFX |
| IBCA | INMD | JTWO |
| IBCO | INMRY | JUNI |
| IBCP | INRB | JUNO |
| IBHVF | INSGY | JWAIA |
| IBOC | INSI | JXVL |
| IBSDF | INSP | KARE |
| IBSX | INSS | KARR |
| ICCSA | INTD | KBALB |
| ICED | INTF | KELL |
| ICGX | INTO | KENT |
| ICOC | INTS | KESI |
| ICOS | INTT | KEST |
| ICST | INTU | KIDQ |
| ICUB | INTXA | KILN |
| IDEA | IOMT | KING |
| IDGB | IONAY | KITS |
| IDPH | IPCRF | KLAC |
| IDTC | IPIC | KLIC |
| IDTI | IPLY | KLLM |
| IDXC | IPSW | KLOC |
| IDXX | IQIQ | KNAP |
| IEIB | IQIQW | KNDL |
| IFCI | IQST | KNGT |
| IFIN | IREG | KNIC |
| IFIT | IRETS | KNTK |
| IFITU | ISCO | KOFX |
| IFITZ | ISCX | KOGC |
| IFLO | ISFC | KOOL |
| IFNY | ISIP | KOSS |
| IFSB | ISKO | KREN |
| IFSCD | ISNR | KRHC |
| IFSIA | ISNS | KROG |
| IFTI | ISWI | KRSC |
| IGCA | ISWIW | KSBK |
| IGLC | ITCC | KSWS |
| IHHI | ITCD | KTCO |
| IHHZ | ITDS | KTIE |
| IHOP | ITEC | KTTY |
| IHSC | ITELD | KWIC |

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|-------|--------|-------|
| KYZN | MAGSF | MFCV |
| LABH | MAHI | MFLR |
| LABL | MAME | MFNX |
| LACO | MANA | MFRI |
| LADF | MANC | MGAMZ |
| LAIX | MANS | MGAS |
| LANC | MANU | MGCC |
| LANPF | MARC | MGCX |
| LANV | MASB | MGMA |
| LAYN | MASK | MGRC |
| LCBM | MATE | MHMY |
| LCRY | MATH | MICCF |
| LDII | MATK | MICN |
| LDSH | MATR | MICTF |
| LEAS | MATVY | MIKE |
| LEBC | MATW | MIKL |
| LECE | MAVK | MIKR |
| LECT | MAXC | MILK |
| LEPI | MAXF | MIMS |
| LEXI | MAYS | MINIZ |
| LFCO | MAZL | MINT |
| LFUS | MBBC | MIPS |
| LFUSW | MBFC | MISI |
| LGAM | MBIA | MKAU |
| LGND | MBJI | MKIE |
| LGTO | MBLA | MKTAY |
| LHSG | MBNK | MKTW |
| LHSPF | MBNY | MLAB |
| LIBB | MBRS | MLCH |
| LICB | MBTA | MLHR |
| LIFF | MCAR | MMACW |
| LIND | MCBI | MMAN |
| LINK | MCBN | MMCN |
| LION | MCCL | MMWW |
| LIPO | MCFR | MNBB |
| LITE | MCHM | MNMD |
| LJLB | MCOM | MNRTA |
| LJPC | MCON | MNTX |
| LKST | MCRE | MOCO |
| LLTC | MCRS | MODM |
| LMLAF | MCSX | MOIL |
| LMTR | MCTL | MOLX |
| LNCR | MDBK | MOLXA |
| LNDL | MDCC | MOND |
| LOCK | MDCD | MORP |
| LODE | MDEA | MOSX |
| LODG | MDERF | MOVA |
| LOEH | MDEWF | MOVI |
| LOGC | MDII | MOYC |
| LOJN | MDKI | MRBK |
| LPAC | MDMD | MRCM |
| LPGLY | MDPA | MRCY |
| LPTHA | MDSIF | MRET |
| LSCC | MDSLIF | MRGE |
| LSKIC | MDWV | MRGO |
| LSON | MEAD | MRII |
| LSTR | MECN | MRIS |
| LTCH | MEDJD | MRRW |
| LTEK | MEDP | MRSA |
| LTRE | MEDQ | MRTN |
| LUCK | MEDS | MRVC |
| LUCY | MELI | MRVT |
| LUFK | MEMCF | MSBF |
| LUNR | MENT | MSBK |
| LUTH | MEOHF | MSCA |
| LUXY | MERB | MSDX |
| LWAY | MESA | MSFT |
| LXBK | META | MSGI |
| LXMO | METB | MSIX |
| LYTS | METHA | MSON |
| LZRC | METNF | MSPT |
| MACE | METRW | MSSI |
| MACR | METZ | MSTR |
| MADB | MFAC | MTEC |
| MADGF | MFCB | MTIC |
| MAGN | MFCO | MTIN |

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|-------|-------|-------|
| MTIX | NITE | OFLDF |
| MTLG | NKID | OFLUF |
| MTLM | NLCI | OGGI |
| MTNT | NLCS | OHSL |
| MTRA | NMBT | OLGR |
| MTRO | NMPC | OLOG |
| MTRX | NMPS | OLSAY |
| MTST | NMRX | OLSYD |
| MTWKF | NMSS | OMED |
| MTXC | NMTI | OMGA |
| MUZEW | NMTX | OMQP |
| MVII | NMTXZ | ONCO |
| MVISW | NNBR | ONCOZ |
| MVSN | NOBE | ONDI |
| MWAR | NOGWF | ONHN |
| MWAV | NOLD | ONPR |
| MWHX | NOOF | ONSSU |
| MWRK | NOPT | ONST |
| MXBIF | NORPF | ONSTW |
| MXICY | NORT | ONTC |
| MXWL | NOVB | OPEN |
| MYLX | NOVL | OPHDW |
| MYST | NOVN | OPMRF |
| MZON | NOVT | OPSI |
| NABI | NPCI | OPTS |
| NADX | NPIX | OPTT |
| NAIG | NPRO | ORBKF |
| NAMC | NPSI | ORBT |
| NAMCW | NPSP | ORLY |
| NANX | NPTH | OROA |
| NARA | NRES | ORTCZ |
| NASI | NRGN | ORTH |
| NATK | NRIM | ORTHW |
| NATS | NRMI | OSBC |
| NAUT | NRTI | OSFT |
| NAVR | NRTY | OSIP |
| NBCP | NSBC | OSIS |
| NBOC | NSCC | OSIX |
| NBTB | NSCF | OSSI |
| NBTY | NSDB | OSTE |
| NCBC | NSFC | OTRKB |
| NCBE | NSIT | OTTR |
| NCBH | NSPR | OUSA |
| NCBM | NSSI | OVBC |
| NCSS | NSTA | OWLD |
| NDSN | NSYS | OWOS |
| NECB | NTEC | OWWI |
| NECSY | NTLI | OXGN |
| NEIB | NTOL | OXGNW |
| NEIC | NTRL | OXIS |
| NEMA | NTRS | OZEMY |
| NEOM | NUTR | OZRK |
| NEON | NVGNY | PACK |
| NEOP | NVLS | PAGE |
| NEOT | NVUE | PAMM |
| NERX | NWEQ | PANL |
| NESC | NWFI | PANLW |
| NESI | NWFL | PANRA |
| NETA | NWLIA | PARL |
| NETE | NWRE | PATI |
| NETS | NWSB | PATK |
| NETT | NWST | PAYX |
| NEWC | NXLK | PAZZF |
| NEWP | NXTR | PBCI |
| NEWRZ | OAKF | PBCT |
| NFLI | OAKT | PBHC |
| NFLIW | OBCI | PBIOW |
| NGASF | OBIE | PBIX |
| NGPSF | OBJS | PBKS |
| NHCH | OCCF | PBMIW |
| NHMCF | OCLI | PBNK |
| NHTB | OCOM | PBOC |
| NHTCC | ODSI | PBSF |
| NICEY | ODWA | PBSID |
| NICH | OFCP | PBSIW |
| NINE | OFIXF | PBTC |

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|-------|-------|-------|
| PBTX | PBTC | PWRH |
| PBYP | PMTI | PXXI |
| PCCG | PMWI | PYTV |
| PCFC | PNBC | PZZA |
| PCFR | PNBK | PZZI |
| PCFRW | PNDR | QADI |
| PCHM | PNRG | QCSB |
| PCLE | PNTE | QDRMY |
| PCMS | POCC | QEDC |
| PCRV | POCI | QEKG |
| PCSNC | POOL | QEPC |
| PCSS | POSO | QFAB |
| PCTH | POVT | QHGI |
| PCTHW | POWR | QKTN |
| PCTY | PPAR | QLGC |
| PDII | PPCO | QLTIF |
| PDKL | PPDI | QRSI |
| PDLI | PPLS | QSNDF |
| PDSEW | PPOD | QSYS |
| PDSF | PPRT | QTRN |
| PEBK | PPTI | QUAL |
| PEBO | PQUE | QUES |
| PECX | PRAC | QUIP |
| PEEK | PRACW | QUIZ |
| PEGA | PRAN | QUST |
| PEGAE | PRBC | QWST |
| PENC | PRBZ | RACN |
| PENCW | PRCT | RADS |
| PESC | PRCY | RADX |
| PETD | PRED | RAGS |
| PFCB | PREN | RAIN |
| PFCO | PRFM | RAND |
| PFDC | PRFN | RANGY |
| PFNC | PRGN | RAWA |
| PFSL | PRGO | RBCAA |
| PGEI | PRGX | RBIN |
| PGEOF | PRIA | RBNC |
| PGEX | PRKR | RBOT |
| PGLD | PRLS | RBOW |
| PGNX | PRMA | RCBK |
| PHBK | PROA | RCCC |
| PHCC | PROG | RCHI |
| PHEL | PROV | RCHY |
| PHLI | PROX | RCII |
| PHLYZ | PRRR | RCMT |
| PHOC | PRTL | RCOM |
| PHON | PRTW | RCOMW |
| PHSE | PRVT | RDCMF |
| PHTN | PRWW | RDGE |
| PHXX | PRXL | RDOC |
| PICM | PSBI | RDUS |
| PICO | PSCO | REAL |
| PIFIE | PSDI | REBC |
| PIHCU | PSFC | RECY |
| PILT | PSFI | REFR |
| PIONA | PSFT | REGN |
| PIOS | PSON | RELI |
| PLAB | PSQL | RELV |
| PLAY | PSRC | RELY |
| PLCE | PSTFY | REMX |
| PLDI | PSUN | RENEF |
| PLFC | PSYS | RENWF |
| PLLL | PTEC | REPT |
| PLNR | PTIX | RESM |
| PLPT | PTNX | RESR |
| PLSIZ | PTSI | RESY |
| PLSK | PTUSE | RFGI |
| PLTN | PUBO | RFHIW |
| PLUS | PUMA | RGEN |
| PLXS | PUREW | RGFC |
| PMCO | PURW | RGLD |
| PMCP | PVII | RGNT |
| PMRP | PVSA | RHCS |
| PMRT | PVSW | RHPS |
| PMRTZ | PWCC | RICAD |
| PMRY | PWER | RIFL |

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|--------|--------|--------|
| RIGS | SBUX | SKYFY |
| RIGX | SCAI | SKYF |
| RIMS | SCCB | SKYM |
| RINO | SCCO | SLAM |
| RIPE | SCES | SLFI |
| RIVR | SCFS | SLHN |
| RKNG | SCHI | SLIC |
| RLAXY | SCHR | SLMD |
| RLLYW | SCIO | SLNK |
| RMBS | SCIXF | SLVN |
| RMCI | SCMM | SLVR |
| RMHT | SCNG | SMBC |
| RMOC | SCNI | SMCC |
| RMTR | SCNYA | SMCH |
| RNETW | SCNYB | SMCHW |
| RNIC | SCOC | SMCX |
| RNTK | SCOT | SMEDF |
| ROAC | SCSC | SMGS |
| ROAD | SCSWF | SMIN |
| ROCK | SCTLF | SMIT |
| ROCLF | SCTT | SMOD |
| ROCM | SCUR | SMPS |
| ROHN | SCVL | SMSC |
| ROIL | SDTI | SMSI |
| ROIX | SEAC | SMTC |
| ROMC | SECA Y | SMTS |
| ROMN | SEGU | SNAP |
| ROSDF | SEIC | SND CF |
| ROSE | SELAY | SNDK |
| ROSI | SELB | SNDSC |
| ROSWF | SEMD | SNFCA |
| RPII | SENEA | SNPS |
| RRRR | SENEB | SNRS |
| RSBI | SERO | SNSTA |
| RSFC | SESI | SNTC |
| RSGI | SFEF | SNTO |
| RSIS | SFFC | SNUS |
| RSLN | SFIN | SOAPW |
| RSPN | SFSK | SO CR |
| RSTI | SFSW | SOCT |
| RTEL | SFUN | SODK |
| RTRK | SFXE | SOFT |
| RTRSY | SGAI | SOLP |
| RURL | SGDE | SOLPU |
| RUSH | SGNL | SONE |
| RUSMF | SGNS | SONO |
| RVEE | SGOLY | SOPN |
| RWAV | SGPH | SPAN |
| RWDT | SGVB | SPA ZC |
| RYFL | SHBK | SPCO |
| RZYM | SHLL | SPCOC |
| SACM | SHLR | SPEC |
| SAESY | SHOE | SPFO |
| SAFC | SHOO | SPGLA |
| SAFT | SHPGY | SPIR |
| SALT | SHRP | SPLI |
| SANM | SHUF | SPOR |
| SANY Y | SHVA | SPPR |
| SAPE | SIAL | SPPTY |
| SASR | SIDY | SPTR |
| SATC | SIGYY | SPWY |
| SATH | SIHS | SPZN |
| SAVLY | SIII | SQNT |
| SBAS | SILCF | SRCL |
| SBCM | SILI | SRDX |
| SBEI | SIMA | SRGEW |
| SBHC | SIMC | SSFC |
| SBIB | SIMS | SSII |
| SBIG | SIRC | SSLI |
| SBIO | SIRN | SSYS |
| SBIT | SIVB | STAC |
| SBLI | SIZL | STAF |
| SBNK | SKCB | STBC |
| SBSE | SKFRY | STBF |
| SBSI | SKRI | STCL |
| SBTK | SKYC | STFC |

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|-------|-------|-------|
| STFR | TELEW | TRUC |
| STGC | TELU | TRUCW |
| STHLY | TELV | TRUV |
| STMT | TENT | TRVS |
| STOSY | TERA | TSBS |
| STRA | TESI | TSCC |
| STRC | TESOF | TSCN |
| STRD | TESTA | TSFW |
| STRT | TESTB | TSIC |
| STRZ | TEXM | TSII |
| STSA | TEXP | TSMAF |
| STTZF | TFCO | TSSS |
| STVI | TFRC | TSST |
| SUBK | TGAL | TSSW |
| SUGN | TGCI | TTEC |
| SUMT | TGEN | TTELF |
| SUMX | TGIS | TTILF |
| SUNH | TGNT | TUNE |
| SUNQ | TGSI | TUTR |
| SUPC | THNK | TVGTF |
| SUPR | THRD | TVGWF |
| SUPVU | THRT | TVLI |
| SUPX | THI | TWFC |
| SVBF | TISAF | TWHH |
| SVECF | TISWF | TWLB |
| SVRN | TKGFA | TWMC |
| SWBT | TKGFW | TWRI |
| SWKOY | TKOCF | TWSTY |
| SXNB | TLAB | TXCC |
| SYBS | TLCM | TXCO |
| SYGR | TLDT | TXHI |
| SYKE | TLGD | UACA |
| SYMC | TLTN | UBAN |
| SYMX | TLXAF | UBCD |
| SYNC | TMAN | UBID |
| SYNT | TMAX | UBIX |
| SYNX | TMBR | UBMT |
| SYPR | TMCS | UBSC |
| SYSF | TMEIW | UBSH |
| TACO | TMOT | UCBH |
| TACT | TMSR | UCMP |
| TAIT | TMSTB | UCOR |
| TALX | TMXI | UDYN |
| TANK | TNSU | UEIC |
| TAROF | TOGA | UFBS |
| TARR | TOPS | UFCS |
| TASA | TOYOY | UFPT |
| TATTF | TPARY | UGLY |
| TAVI | TPEG | UHCI |
| TAYD | TPOA | UHCP |
| TBAEW | TQNT | UICI |
| TBCOA | TRAK | UIHIA |
| TBCOL | TRBO | ULTI |
| TBFC | TRBR | UMED |
| TBUS | TRBS | UMPQ |
| TBUSW | TRCD | UNAM |
| TCCO | TRCI | UNBC |
| TCDN | TRCR | UNBI |
| TCDNW | TRDT | UNFY |
| TCIVA | TRDX | UNII |
| TCIX | TREV | UNIT |
| TCLN | TREVV | UNSRW |
| TCMS | TRGNY | UNTD |
| TCNOF | TRIZF | UNTY |
| TCOMB | TRKA | UNVC |
| TCPI | TRMB | UNVCW |
| TCPS | TRMK | UPUP |
| TCSI | TRMM | URBN |
| TCTV | TRND | URGI |
| TCXXF | TRNI | UROQ |
| TDEO | TRNS | USAD |
| TDEOW | TRON | USAK |
| TECH | TROW | USAM |
| TECUB | TRSEF | USAP |
| TELE | TRSM | USBCE |
| TELEU | TRST | USDL |

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|-------|-------|-------------------|
| USEY | VTCH | XMCM |
| USEYW | VTEK | XMIT |
| USFC | VTEX | XOSY |
| USFS | VTNAF | XRAY |
| USHG | VTSS | XRIT |
| USPH | VVUS | XTEL |
| USPN | VVVI | XTON |
| USTC | WALB | XTRM |
| USWB | WALK | XYBR |
| UTBI | WALL | XYBRW |
| UTCI | WANG | YANB |
| UTCIW | WARPF | YELL |
| UTEK | WATFZ | YFED |
| UTOG | WATR | YHOO |
| UTVI | WAVO | YORK |
| UVEW | WAXS | YSII |
| UVSGA | WAYN | ZAPS |
| UVSLW | WBCO | ZEUS |
| VADO | WBPR | ZHOM |
| VAIL | WBST | ZILA |
| VALN | WCII | ZING |
| VALU | WCMC | ZION |
| VCAP | WCNX | ZITL |
| VCLL | WCOM | ZMAX |
| VCLLW | WCSTF | ZMTX |
| VCSI | WDFC | ZNDTY |
| VDAT | WDRY | ZNRG |
| VDATW | WEFC | ZOMX |
| VDNX | WERN | ZOOM |
| VECO | WFDS | ZYSBB |
| VENGF | WFSG | |
| VENT | WGBC | <i>Schedule C</i> |
| VERP | WGOV | AAGIY |
| VFLX | WHGB | AAHS |
| VFSC | WILWF | AAIR |
| VGCO | WIND | AAME |
| VGHN | WIRE | AASIU |
| VIAS | WLDA | AASIW |
| VICL | WLFC | AASP |
| VICR | WLHN | AATI |
| VIDE | WLPT | ABBK |
| VIFL | WLRP | ABCB |
| VINT | WMCO | ABCL |
| VION | WNUT | ABCR |
| VIONU | WPEC | ABGX |
| VIONW | WPIC | ABMC |
| VIRS | WPNE | ACAT |
| VISG | WPSN | ACET |
| VITK | WRDP | ACIT |
| VITL | WRKS | ACLR |
| VLAB | WRKSW | ACNUF |
| VLGEA | WRLD | ACRI |
| VLNC | WRLSD | ACSC |
| VMRX | WRNB | ACSY |
| VNTV | WSBI | ACTL |
| VNWK | WSBK | ACTT |
| VOCLF | WSCC | ADCC |
| VONE | WSCI | ADLI |
| VOXW | WSFS | ADLRF |
| VPUR | WSTL | ADSP |
| VRES | WSTNA | ADVNB |
| VRGN | WTEC | AEIS |
| VRIO | WTHG | AESP |
| VRLK | WTLK | AFFI |
| VRSN | WVFC | AFFX |
| VRTX | WWCA | AFIS |
| VRTY | WWES | AGIS |
| VSCI | WWLIW | AGPH |
| VSEIF | WWTR | AHPI |
| VSIN | WYNT | AHWY |
| VSIND | XATA | AILP |
| VSIO | XEIKY | AIRB |
| VSLF | XETA | AKRN |
| VSNT | XIOX | ALAB |
| VSTN | XLNX | ALEX |
| VSVR | XLSW | ALGI |

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|-------|-------|-------|
| ALGO | BCII | CDTS |
| ALKS | BCIS | CDWI |
| ALLE | BCOM | CEBC |
| ALNC | BDLS | CECO |
| ALNK | BDOG | CEDC |
| ALOT | BEIQ | CEDR |
| ALSI | BELFB | CEFT |
| ALTA | BERK | CELT |
| ALTM | BFOH | CENT |
| ALYN | BGALY | CERS |
| AMCC | BHAG | CETV |
| AMCE | BHQUC | CFBXL |
| AMFC | BIGX | CFBXZ |
| AMHC | BIKE | CFCM |
| AMRSW | BILL | CFCP |
| AMSFF | BIMCD | CFGI |
| AMSGA | BIOI | CFNC |
| AMSWA | BIPL | CGCP |
| AMSY | BIRM | CHAR |
| AMVC | BJICA | CHERB |
| ANAD | BKFR | CHGOW |
| ANAT | BLCI | CHRB |
| ANDE | BLMT | CHTT |
| ANET | BLUD | CIEN |
| ANIC | BMAN | CINF |
| ANLT | BMED | CIRQF |
| APOS | BMRA | CISC |
| AQLA | BMTR | CKFR |
| AREA | BNBGA | CLAS |
| ARGX | BNKU | CLBK |
| ARIA | BNRX | CLCP |
| ARINA | BONSQ | CLFY |
| ARIS | BONZ | CLKB |
| ARKR | BOSCF | CLRS |
| ARMF | BOSS | CLRT |
| ARNX | BOYD | CLST |
| ARQL | BPLS | CLTK |
| ARRO | BRAI | CLTR |
| ARSC | BRBI | CLTY |
| ARTC | BRBK | CLYS |
| ARTL | BRYO | CMCI |
| ASCT | BSMT | CMDL |
| ASEC | BSYS | CMED |
| ASFT | BTBTY | CMND |
| ASHE | BTGC | CMOS |
| ASMIF | BTGI | CMRO |
| ASYSW | BUKSC | CMSB |
| ATLB | BUNZ | CMSV |
| ATLCU | BWFC | CMTO |
| ATML | BYBI | CMWL |
| ATPC | CACB | CNAF |
| ATRI | CADE | CNBC |
| ATRM | CAFI | CNGR |
| AURA | CAMD | CNIT |
| AVAN | CAND | CNRD |
| AVCC | CARD | CNRS |
| AVDL | CARN | CNSP |
| AVGE | CASA | CNTL |
| AVID | CATH | CNTR |
| AVII | CAVB | CNXT |
| AVRT | CBAN | COBH |
| AVTR | CBCI | COBZ |
| AVXT | CBMD | CODI |
| AXIM | CBNJ | COLL |
| AXYS | CBNY | COMS |
| AZTC | CBRL | COOP |
| BAANF | CBSA | COPI |
| BAMM | CCCF | COPY |
| BARR | CCLR | CORX |
| BATSW | CCRO | COSC |
| BBBY | CDIC | COSE |
| BBDC | CDIR | CPMNY |
| BBII | CDMS | CPRT |
| BBRC | CDNW | CPTI |
| BBSI | CDRD | CPWY |
| BCHE | CDSC | CRCL |

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|-------|-------|-------|
| CRDM | DMMC | ETEK |
| CRED | DMSC | EUSA |
| CREE | DNEX | EVBS |
| CREN | DNFC | EVER |
| CRGO | DRCO | EWST |
| CRHCY | DRMD | EXAC |
| CRLS | DRTK | EXCA |
| CRRC | DRYR | EXCO |
| CRRR | DSGIF | EXEC |
| CRYSF | DSIT | FACO |
| CSAR | DTEK | FACT |
| CSBK | DTLN | FARL |
| CSCO | DTMC | FARM |
| CSCQ | DVIDU | FARO |
| CSCQW | DVNTF | FASI |
| CSNR | DWCH | FAST |
| CSWC | DWYR | FAXX |
| CSYI | DXPE | FBAN |
| CTBI | DXYN | FBER |
| CTCO | DYHM | FBNC |
| CTCQ | DYII | FBSI |
| CTEK | DYMTF | FCBF |
| CTEN | DYMX | FCBK |
| CTGI | DYNX | FCCN |
| CTIC | DYOLF | FCFC |
| CTII | DYPR | FDTR |
| CTND | EAI | FEET |
| CTRX | EASTW | FESX |
| CTRY | EBAY | FFBC |
| CTSC | ECBE | FFBZ |
| CTWOW | ECSI | FFDB |
| CTXS | EDCO | FFDF |
| CTYA | EDUC | FFES |
| CVBK | EEFT | FFHH |
| CVCLF | EFCX | FFKT |
| CVLY | EFII | FFTI |
| CVTI | EGASW | FHCC |
| CWBC | EGHT | FHRI |
| CWEI | EGLO | FIBC |
| CXILW | EILL | FIFS |
| CYAN | ELAMF | FILM |
| CYGN | ELCO | FIRM |
| CYPB | ELIX | FISB |
| CYPBZ | ELON | FISV |
| CYPHW | ELSE | FKFS |
| CYSP | ELSI | FLCHF |
| DAIO | EMAK | FLCI |
| DAKT | EMCC | FLDR |
| DAOU | EMKR | FLIC |
| DAVL | EMLD | FLOW |
| DAVX | ENCD | FLPB |
| DAWK | ENDO | FLSC |
| DBLE | ENER | FMAX |
| DBRSY | ENGEF | FMBI |
| DCAIW | ENGSY | FMBK |
| DCLK | ENMC | FNCLY |
| DCPI | ENSO | FNCO |
| DCRN | ENSR | FNFI |
| DEAR | EPEX | FNLY |
| DECO | EPIQ | FONX |
| DECTF | EQSB | FORMF |
| DEMP | EQTX | FORTY |
| DENT | ERCI | FOUR |
| DGII | ERGO | FRAG |
| DGJLF | ERICZ | FRBK |
| DGSI | ESBF | FRES |
| DHBT | ESBK | FRGB |
| DHSM | ESCMF | FRND |
| DIAGF | ESCO | FRNT |
| DIGL | ESIO | FRPP |
| DIIG | ESMCW | FSAWF |
| DINE | ESON | FSNJ |
| DKEY | ESPI | FSON |
| DLIA | ESPRY | FSRV |
| DLNK | ESTI | FSTR |
| DMDS | ETCIA | FTBK |

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|-------|-------|--------|
| FTCG | HELE | INMT |
| FTEC | HELO | INNO |
| FTEKF | HERBB | INOC |
| FTFN | HFBC | INPR |
| FTSP | HHCA | INPT |
| FULL | HHHH | INSO |
| FUSE | HICKA | INST |
| FUTR | HIHOF | INSUA |
| FWBI | HILI | INTAF |
| FWWB | HIPC | INTG |
| FYII | HISS | INTL |
| GABC | HITK | INTXL |
| GABS | HMAR | INTXZ |
| GAEO | HMII | INVN |
| GASSD | HMLD | INVX |
| GATT | HMSI | IPEC |
| GBCOA | HMSIU | IRIDF |
| GBFE | HMSIW | IRSN |
| GBND | HNWC | ISAC |
| GBOT | HNWCW | ISBF |
| GBTB | HORT | ISEE |
| GDCUF | HRDG | ISGTF |
| GDCWF | HRVE | ISIG |
| GENSZ | HSIC | ISIS |
| GENZ | HSTD | ISLE |
| GEOC | HTEC | ITRI |
| GEOI | HTECC | ITWO |
| GGGO | HWCC | IUSAA |
| GIGX | HWKN | IZZI |
| GISH | HYPT | JADEF |
| GLCBY | HYSL | JAMS |
| GLDB | IAAC | JEVC |
| GLDR | IACP | JMAR |
| GLIA | IART | JMCG |
| GLMA | IBIS | JSTN |
| GLUX | ICCC | JUDG |
| GMCR | ICHR | KAMNA |
| GMGC | ICII | KAYE |
| GNCMA | ICIX | KERA |
| GNLB | ICLRY | KEYS |
| GNRL | ICMI | KFBI |
| GNTIY | ICOCZ | KIDD |
| GNTL | ICOGF | KIDS |
| GNTY | ICOR | KINN |
| GPMI | ICTSF | KLOCZ |
| GRDG | ICUI | KMET |
| GRIF | IDBEF | KOPN |
| GRLL | IELSF | KPLNF |
| GRTS | IFLYW | KPLWF |
| GSDNW | IFMX | KRON |
| GSLM | IGPFF | KRSL |
| GSOE | IHIL | KTEC |
| GSTX | IKOS | KTIC |
| GTCMY | ILNK | KTII |
| GTIMW | IMAA | KTWO |
| GTNR | IMAT | KTWOW |
| GTRC | IMAXF | KVCO |
| GUPB | IMGK | KVHI |
| GZEA | IMKE | KYZNW |
| GZMO | IMMU | LABN |
| HACH | IMNR | LABS |
| HACHA | IMONW | LACI |
| HAIN | IMSC | LAND |
| HALL | IMSG | LARL |
| HAMP | INCY | LASE |
| HANS | INDYY | LAWS |
| HARY | INFD | LBTYB |
| HAST | INFO | LCCI |
| HAUS | INFS | LCCO |
| HAVN | INGR | LCOS |
| HBHC | INHL | LCSI |
| HBOC | INHM | LEASW |
| HCAP | INHO | LECH |
| HCORC | INKP | LFED |
| HCRI | INKT | LGCB |
| HEAL | INLQ | LGSFAF |

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|-------|-------|-------|
| LIFE | MIKN | NSIX |
| LIQB | MILT | NSPK |
| LJPCW | MITSY | NTAIF |
| LKFN | MLOG | NTAP |
| LMAR | MMAC | NTBK |
| LMIA | MMGR | NTEG |
| LNCB | MMSI | NTFYW |
| LNCE | MNES | NTKI |
| LNET | MNRCY | NTMG |
| LOGIY | MNYC | NTPA |
| LOGLF | MNYCW | NTPL |
| LOGN | MODI | NTSC |
| LONDY | MOKA | NTSTW |
| LPTHW | MONM | NUHC |
| LQMD | MONT | NURTF |
| LSBX | MOTO | NVDA |
| LSCP | MOTR | NVDC |
| LTCW | MPSI | NVDCW |
| LUCR | MPVIF | NWCA |
| LUND | MRLI | NWCMW |
| LVCJ | MRYP | NWNG |
| LVLT | MSEL | NWPX |
| LVSB | MSEX | NWREW |
| MABXA | MSPTD | NWSS |
| MAII | MSTG | NWSW |
| MAIL | MTLC | NYHC |
| MAIN | MTMC | NZYM |
| MAIR | MTRN | OCAD |
| MALL | MTRS | OCAL |
| MAPS | MTSC | OCAS |
| MARN | MTSLF | ODETA |
| MARPS | MUEI | ODFL |
| MARY | MUEL | ODIS |
| MAST | MUSE | OFIS |
| MAXI | MVAC | OGLE |
| MAXS | MVCOW | OHRI |
| MBHI | MWDS | OICO |
| MBLF | MWGP | OLAB |
| MBRW | MWHS | OLCWF |
| MCCRK | MWSI | OLGC |
| MCHP | MXIM | OMPT |
| MCLD | MYGN | ONFC |
| MCRI | MYSW | ONTR |
| MCRL | NAII | ONTRW |
| MDCAF | NATI | ONYX |
| MDCI | NATL | OPHD |
| MDCL | NATLW | OPTLF |
| MDLK | NATR | OPTN |
| MDSN | NATW | ORAL |
| MDST | NAVJ | ORCI |
| MECH | NBAK | ORCL |
| MEDA | NBSC | OREX |
| MEDI | NBSI | ORFR |
| MEDI | NCEB | ORNGY |
| MEDM | NCES | ORTL |
| MEDY | NCOMC | ORYX |
| MEGO | NCTI | OSFTW |
| MERCS | NERIF | OSHSF |
| MERK | NETG | OSII |
| MERQ | NETM | OTCM |
| MERX | NEXT | OTRX |
| METF | NFLD | OUTL |
| METG | NGEN | OVRL |
| METHB | NHAN | OYOG |
| METLF | NHCI | PAASF |
| MFBC | NHHC | PACC |
| MFIC | NICKF | PAIR |
| MFUN | NMGC | PALX |
| MGAM | NMSB | PANA |
| MGAMW | NMSCA | PAPA |
| MGASW | NOBH | PARA |
| MHCO | NOEL | PARS |
| MICA | NOIZ | PATH |
| MIFC | NOOFW | PAUH |
| MIFGY | NPBC | PBFI |
| MIGI | NRRD | PBMI |

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|-------|-------|-------|
| PCIG | QDIN | SEQU |
| PCOP | QGENF | SEVN |
| PDSE | QGLY | SEWY |
| PDSFW | QMDC | SFAM |
| PEAKF | QSRI | SFBC |
| PEDE | QTEL | SFGD |
| PEGI | QUIX | SHCR |
| PERI | QUSTW | SHDN |
| PERLF | RACE | SHFL |
| PESI | RADAF | SHLM |
| PETC | RADIF | SHLO |
| PETM | RAIL | SIEB |
| PFGI | RANKY | SIGC |
| PFINA | RARE | SIGI |
| PFSB | RAVE | SIGM |
| PGLAF | RAVN | SILVZ |
| PGTZ | RAWL | SIMN |
| PHFC | RAZR | SIMWF |
| PHLY | RBPA | SIND |
| PHRX | RCNC | SIPX |
| PHSB | RDRT | SISGF |
| PHSYB | REHB | SIXR |
| PHYC | REIN | SJNB |
| PHYN | RENG | SKAN |
| PIAM | RENO | SKBO |
| PIHCW | RENX | SKFB |
| PILL | RESC | SKYT |
| PIOG | RESP | SKYW |
| PJTVC | REXI | SLFC |
| PLAN | REXL | SLICW |
| PLCM | REXMY | SLPT |
| PLFE | RFIL | SLTID |
| PLMD | RFMD | SMAN |
| PLSIA | RFMI | SMCS |
| PLUSW | RGBK | SMMT |
| PMCS | RGCO | SMTR |
| PMEDW | RGIS | SMTRF |
| PMFG | RIBI | SNBC |
| PMID | RICA | SNBJ |
| PMOR | RICK | SNBS |
| PMORW | RIDE | SNHY |
| PMRTW | RIDG | SNIC |
| PNTK | RIVL | SNSR |
| POLY | RLLY | SNTKY |
| POWI | RMCF | SOBI |
| PPTV | RMII | SOCC |
| PRCC | RNET | SONC |
| PRCM | ROBV | SORC |
| PRGS | ROYL | SOTR |
| PRHC | RPCLF | SPAB |
| PRMS | RSCR | SPAR |
| PRRC | RTEX | SPDE |
| PRSP | RTRO | SPLK |
| PRZM | RTSTD | SPLN |
| PSCOW | RXSD | SPNSF |
| PSWT | RYOU | SPOT |
| PTCH | SABB | SPRI |
| PTEK | SAFE | SPRX |
| PTEN | SAFS | SPSI |
| PTHW | SANG | SRGE |
| PTII | SASOY | SRSL |
| PTIS | SAVB | SSAX |
| PTRO | SAWS | SSCC |
| PTVL | SBAN | SSIIW |
| PUBSF | SBCO | SSPE |
| PULB | SCBHF | SSSS |
| PULBD | SCBS | SSTI |
| PUTT | SCHK | STAR |
| PVAT | SCITY | STBI |
| PVATW | SCLN | STER |
| PVCC | SCOR | STIM |
| PVFC | SDCOZ | STIZ |
| PWAV | SECM | STKLF |
| QCBC | SECX | STKR |
| QCOM | SEMI | STLTF |
| QDELW | SEMX | STRO |

STRX
STTX
SUIT
SUMM
SUND
SUNW
SUPI
SUSCD
SUSQ
SVGI
SVIN
SWFT
SWLDY
SWMAY
SWWC
SXTN
SYBBF
SYCM
SYMBA
SYNL
SYXI
TAMR
TANT
TBAC
TCAM
TCCC
TCHC
TCIVB
TDRP
TDSC
TECUA
TERN
TEST
TEVIY
TFCE
TFONY
TFSM
TGIC
THDO
THOR
THTL
TIMBZ
TKIOY
TKLC
TKTL
TLNOF
TLSP
TLXN
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TMBS
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TMTX
TNTX
TNZRY
TOFF
TPEGW
TRAV
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TTRIF
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TWIN
TWRS
TWTR
UBCP
UBSI
UCFC
UFAB
UFMG
UHLD
ULGX
UNDG
UNFI
UNIQ
UNPH
UNSR
UPFC
URSI
USBN
USEC
USEG
USHP
USPL
USPTS
USTX
USVI
UVSL
VARL
VCAI
VCAM
VCFC
VDRY
VELCF
VERD
VESC
VFND
VIAX
VIONZ
VITX
VLSI
VMRXW
VMSI
VPHM
VRBA
VRTL
VSAT
VTEL
VVID
WABC
WACLY
WAIN
WANGW
WAVE
WAVEW
WAVT
WBKC
WCBO
WCCI
WCFB
WCLX
WDHD
WEBB
WEBC
WEBK
WEYS
WFMI
WFSL
WGNR
WHIT
WHJI
WIDFC
WIKS
WILM

WINS
WKGP
WNNB
WOFC
WORK
WPPGY
WSII
WSTF
WSTR
WTBK
WTFC
WTNY
WTRS
WTSC
WVVI
WWESW
WWIN
WWVY
XCED
YBTVA
YILD
ZBRA
ZICAF
ZIGO
ZNRGW
ZOLT
ZONA
ZSEV
ZVXI
ZYSDD
ZYSKK

[FR Doc. 99-10008 Filed 4-16-99; 4:48 pm]

BILLING CODE 8010-01-P

SECURITIES AND EXCHANGE COMMISSION

17 CFR Parts 232, 270 and 274

[Release No. IC-23786; File No. S7-31-98]

RIN 3235-AG29

Deregistration of Certain Registered Investment Companies

AGENCY: Securities and Exchange
Commission.

ACTION: Final rule.

SUMMARY: The Commission is adopting amendments to the rule and form under the Investment Company Act of 1940 that govern the deregistration of registered investment companies. The Commission also is adopting amendments that require investment companies to file the form electronically through the Commission's Electronic Data Gathering, Analysis, and Retrieval ("EDGAR") system. The amendments are designed to expedite the process for deregistering investment companies.

EFFECTIVE DATE: The rule amendments will become effective June 1, 1999.

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