

DECEMBER 1997

79

CHANGES APRIL 1, 1997 THROUGH DECEMBER 31, 1997

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

**Chapter I—Commodity Futures
Trading Commission (Parts
1—199)**

1 Interpretation.....	25470
Fee schedules	26384
Advisory	31507, 32859, 34165
1.10 (c) amended.....	33007
1.23 Revised	42400
1.25 Revised	42400
1.27 (a)(4) and (b)(2) revised	42401
1.31 (c)(1)(iii) and (3) revised	24031
1.41a (a)(2) and (3) revised	17701
4.1 (c) and (d) added	39115
4.2 (a) revised.....	18268
4.21 (b) revised	39115
4.26 (d) revised	18268
4.31 (b) revised	39115
4.36 (d) revised	18268
5 Fee schedules.....	26384
11 Authority citation revised.....	17702
11.1 Revised	17702
11.2 (a) revised	17702
12 Advisory	43930
Technical correction	45702
15.00 (b) and (l) revised	24031
(l) correctly designated	27659
15.03 Revised	61227
Table corrected	65203
16.00 (a)(5) revised.....	24031
16.01 Heading and (d) revised; (a)(5) and (6) removed; (a)(7) and (c) redesignated as (a)(5) and (b)(3); new (c) added	24032
16.06 Revised	24032
16.07 Revised	24032
17.00 (a), (d), (e) and (g) revised	24032
17.02 (a) revised.....	24033
17.03 Revised	24034
17.04 (a) and (b) introductory text revised	24034
30 Appendix C amended	16690
31 Fee schedules	26384
145 Authority citation revised.....	17069
145.0 Revised	17069
145.2 Revised	17069
145.7 Introductory text added; (a) revised	17069
190 Appendix B amended.....	31710

**Chapter II—Securities and Ex-
change Commission (Parts
200—399)**

200.30–1 (m) removed.....	36455
(b) and (g)(2) removed; (g)(3) redesignated as (g)(2); (c) through (l) redesignated as (b) through (k).....	47368
200.30–5 (j) removed; (k) and (l) redesignated as (j) and (k).....	36455
200.30–6 (a), (b) and (c) removed; (d) through (h) redesignated as (a) through (e).....	47368
202 Policy statement	15604
Authority citation amended	16079
202.3a Introductory text amend- ed.....	47938
202.9 Added	16079
228 Authority citation revised.....	36455, 39761
Technical correction	43581
228.10 (a)(1) amended.....	26388
228.601 (a) amended; (c)(1)(ii) note designated as (c)(1)(ii) Note 1; (c)(1)(ii) Note 2 and (2)(iii) note added; (c)(1)(v) revised.....	36455
228.701 Heading revised; (f) added	39761
229 Technical correction	43581
229.601 (a) amended; (c)(1)(ii) note designated as (c)(1)(ii) Note 1; (c)(1)(ii) Note 2 and (2)(iii) note added; (c)(1)(v) revised.....	36456
229.701 Heading revised; (f) added	39762
230 Technical correction	43581
Authority citation corrected; CFR correction.....	65019
230.135e Added.....	53954
230.146 Added	24573
230.401 (c) revised.....	39762
230.404 (a) amended.....	39763
230.405 Amended.....	26388, 36456
230.424 (d) amended.....	39763
230.462 (d) added.....	39763
230.463 (a) and (b) revised.....	39763
230.482 (d) revised.....	64978
230.485 (b)(1)(i) and (ii) removed; (b)(1)(iii) through (ix) redesi- gnated as (b)(1)(i) through (vii); (b)(2) introductory text and (d)(2)(ii)(B) and (ii) un- designated text amended.....	47938

CHANGES APRIL 1, 1997 THROUGH DECEMBER 31, 1997

TITLE 17 Chapter II—Con.

230.497 (f) amended.....	39763	239.33 (b)(1) and Form F-3 amended.....	26388
230.502 (c)(2) amended.....	53954	Form F-3 amended.....	36459
230.901 Note 7 amended.....	53954	239.34 Form F-4 amended.....	39766
230.902 (b)(8) added.....	53954	Form F-4 corrected.....	43581
232 Technical correction.....	43581	239.61 Removed; Form SR re- moved.....	39766
232.10 (b) note revised.....	36456	239.144 (c) and Form 144 amended	35340
232.11 (e) and (m) revised.....	36456	239.500 Form D amended.....	39766
232.13 (a)(1)(iii) amended.....	47938	240 Compliance dates.....	18514
232.14 Added.....	58649	Authority citation amended.....	35340
232.100 Added.....	36456	Compliance dates revision.....	40732
232.101 (a)(1)(ii), (iii), (iv), (2)(ii), (b)(1), (c)(6) and (7) revised; (c)(19) removed; (d) added.....	36456	Technical correction.....	43581, 45289
(c)(5) removed; (c)(6) through (18) redesignated as (c)(5) through (17).....	39763	240.0-1 (a)(5) revised.....	36459
232.102 (d) amended.....	36457	240.12a-8 Added.....	39766
232.201 (b) note designated as (b) Note 1; (b) Note 2 added.....	36457	240.12b-2 Amended.....	26389
232.202 (d) note designated as (d) Note 1; (d) Notes 2 and 3 added.....	36457	240.12d1-1—240.12d2-2 Undesig- nated center heading revised	39766
232.301 Corrected.....	16691	240.12d1-2 (b) revised; (c) added	39766
Revised.....	41842	240.12g-3 Revised.....	39767
232.303 (a)(2) and (b) revised.....	36457	240.13a-1 Revised.....	39767
232.304 (b)(2) and (d) revised.....	36458	240.13a-2 Removed.....	39768
232.307 Revised.....	36458	240.13d-2 (c) revised.....	36459
232.311 (i) added.....	36458	240.13d-101 Amended.....	35340
232.601 Undesignated center heading and section added.....	36458	240.13d-102 Amended.....	35340
232.901—232.903 Undesignated center heading removed.....	36458	240.13e-4 (f)(12) amended.....	36459
232.901 Removed.....	36458	240.14a-101 Amended.....	36459
232.902 Removed.....	36458	240.14d-1 (c) and (d) redesignated as (e) and (f); new (c) and new (d) added.....	53955
232.903 Removed.....	36458	240.14d-100 Amended.....	35341
239.9 Form SB-1 amended.....	39763	240.14e-1 (e) revised.....	36459
239.10 Form SB-2 amended.....	39763	240.15d-3 Revised.....	39768
239.11 Form S-1 amended.....	39764	240.15d-5 (a) revised.....	39768
239.12 Form S-2 amended.....	36458, 39764	240.17a-5 (g)(1) correctly revised; CFR correction.....	42664
239.13 (b)(1) and Form S-3 amended.....	26388	240.17a-24 Added.....	52236
Form S-3 amended.....	36458, 39764	240.17Ad-7 (i) added.....	52237
239.15A Form N-1A amended.....	47939, 64986	240.17Ad-17 Added.....	52237
239.16 Form S-6 amended.....	47938	249 Technical correction.....	43581
239.17a Form N-3 amended.....	47939, 64986	249.103 Amended.....	35341
239.17b Form N-4 amended.....	47939, 47940, 64986, 64987	249.104 Amended.....	35341
239.18 Form S-11 amended.....	39764	249.105 Amended.....	35341
239.23 Form N-14 amended.....	47938	249.208a (c) revised; (d) added; Form 8-A amended.....	39768
239.25 Form S-4 amended.....	39765	249.208b Removed; Form 8-B re- moved.....	39769
239.31 Form F-1 amended.....	39765	249.210 Form F-10 amended.....	39769
239.32 (b)(2)(i) and Form F-2 amended.....	26388	249.220f Form 20-F amended.....	39769
Form F-2 amended.....	36459, 39765	249.308a Form 10-Q amended.....	39769
		249.308b Form 10-QSB amended	39770
		249.310 Form 10-K amended.....	26389

CHANGES APRIL 1, 1997 THROUGH DECEMBER 31, 1997

Form 10-K amended	39770	275.206(4)-2 (a) introductory text	
249.310b Form 10-KSB amended		revised.....	28135
.....	26389, 39770	275.206(4)-3 (a)(1)(ii)(C) amended	
249.1100 Form MSD amended	35341		28135
249b.100 Form TA-1 amended.....	35341	275.206(4)-4 (a) introductory text	
249b.102 Form TA-2 amended.....	52237	revised.....	28135
260.0-2 (g) revised.....	36459	275.222-1 Added	28135
269.2 Amended; Form T-2 amend-		275.222-2 Added	28136
ed.....	35342	279.1 Form ADV amended.....	28136
270 Authority citation amended		(d) corrected.....	33008
.....	47938, 64978	279.3 Revised.....	28136
270.2a-7 Revised	64978		
270.2a41-1 (a) introductory text		<i>Proposed Rules:</i>	
revised.....	64985	1	47612, 66569
270.2a51-1 Added	17526	3.....	59624
270.2a51-2 Added	17528	30.....	47612
270.2a51-3 Added	17528	32	31375, 33379, 59624
270.3c-1 Added.....	17529	33.....	47612, 59624, 66569
270.3c-5 Added.....	17529	190.....	19530, 47612
270.3c-6 Added.....	17529	200.....	67940
270.10f-3 Revised	42408	202.....	38495
270.12b-1 (g) revised.....	51765	230 ...	24160, 32705, 38495, 45359, 61933, 62273
270.12d3-1 (d)(7)(v) revised.....	64986	232	36467, 38495
270.17a-9 Introductory text		239	24160, 38495
amended	64986	240.....	30485, 36467, 40316, 50682, 61933,
270.17f-5 Revised	26932		62732, 67940, 67996, 68011, 68018
270.18f-3 (c) and (e)(2)(iii) revised		249	36467, 67940
.....	51765	270	24160, 24161, 38495, 61933
270.24e-1 Amended	47938	274	24160, 38495
270.24e-2 Removed	47938	275	61866, 61882
270.24f-1 Removed.....	47938	279.....	61866
270.24f-2 Revised	47938		
270.31a-1 (b)(1) amended.....	64986	TITLE 18—CONSERVATION OF	
270.34b-1 (b) revised	64986	POWER AND WATER RE-	
274.11a Form N-1A amended.....	47939,	SOURCES	
	64986		
274.11b Form N-3 amended....	47939, 64986	Chapter I—Federal Energy Regu-	
274.11c Form N-4 amended ...	47939, 47940,	latory Commission, Department	
	64987	of Energy (Parts 1—399)	
274.24 Form 24F-2 revised	47940		
Form 24F-2 amended	64688	2 Order.....	33341
275 Authority citation revised.....	28132	2.500 Undesignated center head-	
275.203(b)(3)-1 Revised.....	28132	ing and section added.....	15830
275.203A-1 Added.....	28133	4.34 Heading revised; (i) added.....	59810
275.203A-2 Added.....	28133	11 Appendix A revised.....	61228
275.203A-3 Added.....	28134	35 Order.....	36657, 64688
275.203A-4 Added.....	28134	35.32 Revised.....	33348
275.203A-5 Added.....	28134	35.33 Revised.....	33348
275.204-1 Revised.....	28135	37 Order	64715
275.204-2 (a) introductory text re-		153 Revised	30446
vised; (k) added	28135	284 Order	19921, 25842
275.205-3 Heading and (a) revised		375.314 (u) added.....	59812
.....	28135	381.302 (a) amended.....	36982
275.206(3)-2 (a) introductory text		381.303 (a) amended.....	36982
revised.....	28135	381.304 (a) amended.....	36982
275.206(4)-1 (a) introductory text			
revised.....	28135		