AUTHENTICATED
U.S. GOVERNMENT
INFORMATION
GPO

CHANGES APRIL 1, 1997 THROUGH JANUARY 30, 1998

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 Exchange 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 amended....**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 Authority citation amended....**24573**
Technical correction....**43581**
Authority citation corrected; CFR correction....**65019**
230.135e Added....**53954**
230.146 Added....**24573**
Heading revised; introductory text, (a) and (b) redesignated as (a) introductory text, (1) and (2); (b) added....3035
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**

NOTE: **Boldface page numbers indicate 1997 changes.**

CHANGES APRIL 1, 1997 THROUGH JANUARY 30, 1998

TITLE 17 Chapter II—Con.

230.485 (b)(1)(i) and (ii) removed; (b)(1)(iii) through (ix) redesignated as (b)(1)(i) through (vii); (b)(2) introductory text and (d)(2)(ii)(B) and (ii) undesignated text amended.....**47938**
230.497 (f) amended.....**39763**
230.502 (c)(2) amended.....**53954**
230.901 Note 7 amended.....**53954**
230.902 (b)(8) added.....**53954**
232 Technical correction.....**16891, 43581**
232.10 (b) note revised.....**36456**
232.11 (e) and (m) revised.....**36456**
232.13 (a)(1)(iii) amended.....**47938**
232.14 Added.....**58649**
232.100 Added.....**36456**
232.101 (a)(1)(ii), (iii), (iv), (2)(ii), (b)(1), (c)(6) and (7) revised; (c)(19) removed; (d) added.....**36456**
(c)(5) removed; (c)(6) through (18) redesignated as (c)(5) through (17).....**39763**
232.102 (d) amended.....**36457**
232.201 (b) note designated as (b) Note 1; (b) Note 2 added.....**36457**
232.202 (d) note designated as (d) Note 1; (d) Notes 2 and 3 added.....**36457**
232.301 Revised.....**41842**
Revised.....3463
232.303 (a)(2) and (b) revised.....**36457**
232.304 (b)(2) and (d) revised.....**36458**
232.307 Revised.....**36458**
232.311 (i) added.....**36458**
232.601 Undesignated center heading and section added.....**36458**
232.901—232.903 Undesignated center heading removed.....**36458**
232.901 Removed.....**36458**
232.902 Removed.....**36458**
232.903 Removed.....**36458**
239.9 Form SB–1 amended.....**39763**
239.10 Form SB–2 amended.....**39763**
239.11 Form S–1 amended.....**39764**
239.12 Form S–2 amended.....**36458, 39764**
239.13 (b)(1) and Form S–3 amended.....**26388**
Form S–3 amended.....**36458, 39764**
239.15A Form N–1A amended.....**47939, 64986**
239.16 Form S–6 amended.....**47938**
239.16b Form S–8 amended.....**36458**
239.17a Form N–3 amended...**47939, 64986**
239.17b Form N–4 amended.....**47939, 47940, 64986, 64987**
239.18 Form S–11 amended.....**39764**
239.23 Form N–14 amended.....**47938**
239.25 Form S–4 amended.....**39764**
239.31 Form F–1 amended.....**39765**
239.32 (b)(2)(i) and Form F–2 amended.....**26388**
Form F–2 amended.....**36459, 39765**
239.33 (b)(1) and Form F–3 amended.....**26388**
Form F–3 amended.....**36459**
239.34 Form F–4 amended.....**39766**
Form F–4 corrected.....**43581**
239.61 Removed; Form SR removed.....**39766**
239.144 (c) and Form 144 amended.....**35340**
239.500 Form D amended.....**39766**
240 Compliance dates.....**18514**
Authority citation amended.....**35340**
Compliance dates revision.....**40732**
Technical correction.....**43581, 45289**
240.0–1 (a)(5) revised.....**36459**
240.12a–8 Added.....**39766**
240.12b–2 Amended.....**26389**
240.12d1–1—240.12d2–2 Undesignated center heading revised.....**39766**
240.12d1–2 (b) revised; (c) added.....**39766**
240.12g–3 Revised.....**39767**
240.13a–1 Revised.....**39767**
240.13a–2 Removed.....**39768**
240.13d–1 (b)(3) and (4) removed; (c) through (f) redesignated as (d), (i), (j) and (k); (a), (b)(1) introductory text, (ii), (2) and new (d) revised; new (c) and new (e) through (f) added.....2865
240.13d–2 (c) revised.....**36459**
(a), (b) and note revised; (c) redesignated as (e); new (c) and (d) added.....2866
240.13d–3 (d)(1)(ii) revised.....2866
240.13d–7 Added.....2867
240.13d–101 Amended.....**35340**
240.13d–102 Amended.....**35340**
Amended; heading revised.....2867
240.13e–4 (f)(12) amended.....**36459**
240.14a–101 Amended.....**36459**
240.14d–1 (c) and (d) redesignated as (e) and (f); new (c) and new (d) added.....**53955**
240.14d–100 Amended.....**35341**
240.14e–1 (e) revised.....**36459**
240.15d–3 Revised.....**39768**
240.15d–5 (a) revised.....**39768**

NOTE: **Boldface page numbers indicate 1997 changes.**

CHANGES APRIL 1, 1997 THROUGH JANUARY 30, 1998

240.16a–1 (a)(1)(i) through (vii) revised; (a)(1)(viii) redesignated as (a)(1)(xi); new (a)(1)(viii), (ix) and (x) added 2868
240.17a–5 (g)(1) correctly revised; CFR correction....**42664**
240.17a–24 Added **52236**
240.17Ad–7 (i) added....**52237**
240.17Ad–17 Added **52237**
(a)(3)(i) corrected....1884
249 Technical correction....**43581**
249.103 Amended **35341**
249.104 Amended **35341**
249.105 Amended **35341**
249.208a (c) revised; (d) added; Form 8–A amended....**39768**
249.208b Removed; Form 8–B removed....**39769**
249.210 Form F–10 amended....**39769**
249.220f Form 20–F amended....**39769**
249.308a Form 10–Q amended....**39769**
249.308b Form 10–QSB amended **39770**
249.310 Form 10–K amended....**26389**
Form 10–K amended....**39770**
249.310b Form 10–KSB amended **26389, 39770**
249.1100 Form MSD amended....**35341**
249b.100 Form TA–1 amended....**35341**
249b.102 Form TA–2 amended....**52237**
260.0–2 (g) revised....**36459**
269.2 Amended; Form T–2 amended....**35342**
270 Authority citation amended **47938, 64978**
270.2a–7 Revised....**64978**
270.2a41–1 (a) introductory text revised **64985**
270.2a51–1 Added **17526**
270.2a51–2 Added **17528**
270.2a51–3 Added **17528**
270.3c–1 Added **17529**
270.3c–5 Added **17529**
270.3c–6 Added **17529**
270.10f–3 Revised....**42408**
270.12b–1 (g) revised....**51765**
270.12d3–1 (d)(7)(v) revised....**64986**
270.17a–9 Introductory text amended **64986**
270.17f–5 Revised....**26932**
270.18f–3 (c) and (e)(2)(iii) revised **51765**
270.24e–1 Amended....**47938**
270.24e–2 Removed....**47938**
270.24f–1 Removed **47938**
270.24f–2 Revised....**47938**
270.31a–1 (b)(1) amended **64986**
270.34b–1 (b) revised **64986**
274.11a Form N–1A amended **47939, 64986**
274.11b Form N–3 amended...**47939, 64986**
274.11c Form N–4 amended **47939, 47940, 64987**
274.24 Form 24F–2 revised **47940**
Form 24F–2 amended....**64688**
275 Authority citation revised....**28132**
275.203(b)(3)–1 Revised....**28132**
275.203A–1 Added....**28133**
275.203A–2 Added....**28133**
275.203A–3 Added....**28134**
275.203A–4 Added....**28134**
275.203A–5 Added....**28134**
275.204–1 Revised....**28135**
275.204–2 (a) introductory text revised; (k) added **28135**
275.205–3 Heading and (a) revised **28135**
275.206(3)–2 (a) introductory text revised **28135**
275.206(4)–1 (a) introductory text revised **28135**
275.206(4)–2 (a) introductory text revised **28135**
275.206(4)–3 (a)(1)(ii)(C) amended **28135**
275.206(4)–4 (a) introductory text revised **28135**
275.222–1 Added....**28135**
275.222–2 Added....**28136**
279.1 Form ADV amended....**28136**
(d) corrected **33008**
279.3 Revised....**28136**

Proposed Rules:

1 ....**47612, 66569** 695, 2188, 3492
3 ....**59624**
30....**47612**
32....**31375, 33379, 59624**
33....**47612, 59624, 66569**
140 3285
190 ....**19530, 47612**
200—399 (Ch. II)....451
200....**67940**
202....**38495**
230....**24160, 32705, 38495, 45359, 61933, 62273**
232 ....**36467, 38495**
239 ....**24160, 38495**
240....**30485, 36467, 40316, 50682, 61933, 62732, 67940, 67996, 68011, 68018**

NOTE: **Boldface page numbers indicate 1997 changes.**

CHANGES APRIL 1, 1997 THROUGH JANUARY 30, 1998

TITLE 17 *Proposed Rules:—Con.*

249 ..... **36467, 67940**
270 ..... **24160, 24161, 38495, 61933**
274 ..... **24160, 38495**
275 ..... **61866, 61882**
279 ..... **61866**

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)

2 Order **33341**
2.500 Undesignated center heading and section added **15830**
4.34 Heading revised; (i) added **59810**
11 Appendix A revised **61228**
35 Order **36657, 64688**
35.32 Revised **33348**
35.33 Revised **33348**
37 Order **64715**
153 Revised **30446**
284 Order **19921, 25842**
375.314 (u) added **59812**
381.302 (a) amended **36982**
381.303 (a) amended **36982**
381.304 (a) amended **36982**
381.305 (a) amended **36982**
381.402 Removed **36982**
381.403 Amended **36982**
381.505 (a) amended **36982**
381.801 Amended **36982**

Chapter III—Delaware River Basin Commission (Parts 400—499)

401.0 Revised **64154**
401.1—401.9 (Subpart A) Revised **64154**
401.31—401.41 (Subpart C) Revised **64155**
401.51—401.67 (Subpart D) Removed **64158**
401.71—401.78 (Subpart E) Revised **64158**
401.81—401.90 (Subpart F) Revised **64159**

Chapter XIII—Tennessee Valley Authority (Parts 1300—1399)

1314.2 (g), (h), (t) and (v) revised; (i) amended **29288**
1314.3 (a)(3) amended **29288**
1314.4 (a) introductory text, (b) and (d) amended **29288**

Proposed Rules:

1—399 (Ch. I) **22897**
4 ..... **25874**
101 ..... **40987**
116 ..... **40987**
154 ..... **24853, 34187**
201 ..... **40987**
216 ..... **40987**
284 ..... **61459**
352 ..... **40987**
375 ..... **25874**
388 ..... **51610**
401 ..... **45766**
430 ..... **25569**

TITLE 19—CUSTOMS DUTIES

Chapter I—United States Customs Service, Department of the Treasury (Parts 1—199)

4.20 (c) table amended **51769**
4.22 Amended **66522**
4.80 (a)(3) amended **51769**
7 Authority citation revised **46439**
7.2 Added **46439**
7.3 Added **46439**
7.4 Redesignated from 10.181; (b), (g) and (h) amended **46441**
7.8 Removed **46441**
10 Authority citation amended **42211, 46441, 51769**
10.1 (i) amended **51769**
10.7 (d) amended **51769**
10.11 (b) amended **51769**
10.31 (a)(1) and (2) amended 4167
10.39 (d)(2) amended 4167
10.41a (f) revised; (g), (h) and (i) redesignated as (h), (i) and (j); new (g) added **42211**
(f)(1) and (g)(1) corrected **46553**
10.41b (b) introductory text, (7) and (d)(1) introductory text amended **51769**
10.46 Amended **51769**
10.63 Amended **51769**
10.67 (c) amended **51769**
10.75 Amended **51769**
10.90 (a) amended **51769**
10.100 Amended **51769**
10.151 Amended **51769**
10.180 (a) amended **51769**
10.181 Redesignated as 7.4 ..... **46553**