AUTHENTICATED
U.S. GOVERNMENT
INFORMATION
GPO

CHANGES APRIL 1, 1999 THROUGH MARCH 31, 2000

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

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

1 Fee schedules **19711**
1.3 (tt) added 12469
1.4 Added 12469
1.31 (b), (c) and (d) revised **28742**
(b)(4) stayed; eff. 7–7–99 through 9–27–99 ..... **36569**
1.61 Removed **24046**
3 Advisory **39912**
3.13 Revised **68016**
3.14 Removed **68017**
4.14 (a)(5), (6), (7) and (8)(v)(D) amended; (a)(9) added 12943
5 Fee schedules **19711, 30384**
Authority citation revised **66380**
5.3 Added **66380**
5 Appendix A revised **29217**
Appendix E added **29224**
9 Order **39913**
Advisory **39915**
Technical correction **43254**
9.9 (b)(1) introductory text, (3) and (4) revised **46270**
10.1 (d) revised **30903**
10.68 (a)(2) amended **30903**
10.92 (b)(1) revised **30903**
10.101 (a)(5)(iii) revised **30903**
10.102 (e)(1) amended **30903**
10.106 (b)(3) amended **30903**
10.109 Introductory text, (a)(2)(ii) and (b) revised; (d) removed **43071**
10 Appendix A amended **30903**
12.408 Introductory text and (b) revised **43071**
15.03 Revised; eff. 5–16–00 14457
16.02 Removed; eff. 5–16–00 14458
16.03 Removed; eff. 5–16–00 14458
17.00 (b)(1) introductory text revised; (b)(1) designation, (2) and (c) removed; (b)(1)(i) and (ii) redesignated as (b)(1) and (2); (b)(3) added **24046**
17.01 (b)(3)(ii) and (c) removed; (b)(3)(iii) revised; eff. 5–16–00 14458
18.01 Revised **24046**
30 Technical correction **30103**
30.5 Introductory text and (e) added; (a) revised **28914**
30.6 (b) revised **28914**
30 Appendix C amended **50251**
31 Fee schedules **19711**
32.13 Revised **68017**
150.1 (d) introductory text, (2), (e)(2) and (5) revised **24046**
150.2 Revised **24047**
150.4 Revised **24047**
150.5 Added **24048**
171.50 Heading, (a)(1) introductory text, (c) and (d) revised **46271**

Chapter II—Securities and Exchange Commission (Parts 200—399)

200.30–1 (e)(16) added **61400**
200.30–3 (a)(67) added **42595**
(a)(68) added **61400**
(a)(6) amended **61442**
200.30–5 (e)(2) revised **34540**
200.30–14 (l) added 12469
202.3 (b)(2) revised **19451**
210 Technical correction **61962**
210.3–19 Removed; eff. 9–30–00 ..... **53908**
210.3–20 (d) amended; eff. 9–30–00 ..... **53908**
210.3–01 (h) amended; eff. 9–30–00 ..... **53908**
210.3–02 (d) amended; eff. 9–30–00 ..... **53908**
210.3–12 (f) amended; eff. 9–30–00 ..... **53909**
210.10–01 (d) revised **73401**
211 Staff accounting bulletin **45150, 67154, 68936**
Staff accounting bulletin 16811
228 Technical correction **61962**
228.305 Added **73401**
228.306 Added **73401**
228.310 Note 2 amended; eff. 9–30–00 ..... **53909**
(b) introductory text revised **73401**
229 Technical correction **61962**
229.10 (a)(2) revised **61443**
229.302 (a)(5) revised **73402**
229.306 Added **73402**
229.402 (a)(1)(ii) amended; eff. 9–30–00 ..... **53909**
229.404 Amended; eff. 9–30–00 ..... **53909**
229.512 (a)(4) amended; eff. 9–30–00 ..... **53909**
229.601 (b)(10)(iii)(B)(*5*) amended; eff. 9–30–00 ..... **53909**
229.1000—229.1016 (Subpart 229.1000) Added **61443**

NOTE: **Boldface page numbers indicate 1999 changes.**

CHANGES APRIL 1, 1999 THROUGH MARCH 31, 2000

TITLE 17 Chapter II—Con.

230 Authority citation revised **61449**
Technical correction **61962**
230.135 Revised **61449**
230.144 (a)(3)(iv) and (v) amended; (a)(3)(vi) and (vii) added **61400**
230.145 (b) revised **61449**
230.154 Added **62545**
230.162 Added **61450**
230.165 Added **61450**
230.166 Added **61450**
230.175 (b)(2)(i) and (c)(3) amended; eff. 9–30–00 ..... **53909**
230.405 Amended; eff. 9–30–00 ..... **53909**
230.425 Added **61450**
230.432 Revised **61451**
230.434 (c)(3)(i) revised; (c)(3)(ii) amended; eff. 9–30–00 ..... **53909**
230.463 (a) amended; eff. 9–30–00 ..... **53910**
230.485 (f)(1) designation and (2) removed **27894**
230.486 (f)(1) designation and (2) removed **27894**
230.487 (d)(1) designation and (2) removed **27894**
230.495 (e)(1) designation and (2) removed **27894**
230.497 (k)(2)(ii) amended **27894**
230.701 (c) introductory text, (d)(2)(ii) and (iii) amended **61498**
230.800—230.802 Undesignated center heading and sections added **61400**
232 Technical correction 6444
232.10 (b) revised **27894**
232.11 Amended **27894**
232.13 (d) amended **61451**
232.101 (a)(1)(iv) and (c)(11) amended **19471**
(a)(1)(iii) note revised; (b)(7) removed **27894**
232.102 (e) revised **27894**
232.104 Added **27895**
232.105 Added **27895**
232.106 Added **27895**
232.301 Revised **27898, 56431**
Revised 3124
232.302 (a) revised **27895**
232.303 (a)(3) revised **27895**
232.304 Heading, (a) and (b) revised; (c) amended **27895**
232.305 Existing text designated as (a); (b) added **27896**
232.306 (b) revised **27896**
232.307 Existing text designated as (a); (b) added **27896**
232.310 Revised **27896**
239 Technical correction **61962**
239.14 Form N–2 amended **27897, 46837**
239.15 Form N–1 amended **27897**
239.15A Form N–1A amended **27897, 45836**
239.16 Form S–6 amended **27896**
239.17a Form N–3 amended **27897, 45837**
239.17b Form N–4 amended **27897**
239.18 Form S amended; eff. 9–30–00 ..... **53910**
239.24 Form N–5 amended **27897, 46837, 46838**
239.25 Form S–4 amended **61451**
239.31 Form F–1 amended; eff. 9–30–00 ..... **53910**
239.32 Form F–2 amended; eff. 9–30–00 ..... **53910**
239.33 Form F–3 amended; eff. 9–30–00 ..... **53910**
239.34 Form F–4 amended; eff. 9–30–00 ..... **53911**
Form F–4 amended **61451**
239.36 Form F–6 amended; eff. 9–30–00 ..... **53912**
239.42 Heading revised; (e) and (f) amended; (g) added **61402**
Form F–X amended **61403**
239.63 Form ID amended **56432**
239.800 Added **61403**
240 Technical correction **61962**
240.3a12–8 (a)(1)(xviii) and (xix) amended; (a)(1)(xx) added **29553**
Corrected **31493**
240.3b–4 Heading and (c) revised; eff. 9–30–00 ..... **53912**
240.3b–6 (b)(2)(i) and (c)(3) amended; eff. 9–30–00 ..... **53912**
240.10b–13 Removed **61452**
240.10b–18 (a)(15) and (d) added; (c) revised **52433**
240.13a–10 (g)(4) amended; eff. 9–30–00 ..... **53912**
240.13e–1 Revised **61452**
240.13e–3 (g)(6) added **61403**
(d), (e) and (f) heading revised; (g)(5) amended **61452**
240.13e–4 (h)(7) amended; (h)(8) redesignated as (h)(9); (h)(8) and (i) added **61403**
Heading, (a)(4), (c), (d) and (e) revised; (b) redesignated as (j); (a) introductory text, (3), (f)(12), (g) introductory text and new (j)(2)(i) and (ii) amended; new (b) added **61453**

NOTE: **Boldface page numbers indicate 1999 changes.**

CHANGES APRIL 1, 1999 THROUGH MARCH 31, 2000

240.13e–100 Revised **61454**
240.13e–101 Removed **61456**
240.14a–3 (e)(1) and (2) introductory text revised **62546**
240.14a–4 (f) amended **61456**
240.14a–6 (b), (c), (e)(2) and (j) revised; (b) note removed; (o) added **61456**
240.14a–11 Removed **61456**
240.14a–12 Revised **61456**
240.14a–101 Amended **27896, 61457, 73402**
240.14c–3 (c) added **62547**
240.14c–5 (b) and (d)(2) revised **61459**
240.14c–7 Note 2 removed; Note 3 and Note 4 redesignated as Note 2 and Note 3 ..... **62547**
240.14d–1 (c) through (f) redesignated as (e) through (h); new (f) amended; (c) and (d) added **61404**
(g)(1) through (7) redesignated as (g)(2), (7), (5), (1), (9), (3) and (6); (b) introductory text and new (g)(1) amended; new (g)(4) and (8) added **61459**
240.14d–2 Revised **61459**
240.14d–3 (a)(1), (2), (ii), (3) introductory text and (c) amended; (b) revised **61460**
240.14d–4 (b) and (c) redesignated as (c) and (d)(1); heading, (a) introductory text, (3) and new (d) heading revised; introductory text, (a) instruction, new (b) and (d)(2) added; new (d)(1) amended **61460**
240.14d–5 (c)(1) revised **61460**
240.14d–6 Revised **61460**
240.14d–7 (a) redesignated as (a)(1); (a)(2) added **61461**
240.14d–9 (d)(2) introductory text revised; (d)(2)(iii) added **61406**
(a) through (f) redesignated as (b) through (g); heading and new (b) introductory text revised; new (a) added **61461**
(b)(1), (2)(i), (3)(i), (c)(2), (d), (e)(1) introductory text, (2)(i) and (f)(4) amended **61462**
240.14d–11 Added **61462**
240.14d–100 Revised **61462**
240.14d–101 Revised **61464**
240.14e–1—240.14e–8 Note added **61465**
240.14e–1 (c) revised **61465**
240.14e–2 (d) added **61406**
240.14e–5 Added **61465**
240.14e–8 Added **61466**
240.15b1–1 (c) revised **25147**
240.15b3–1 (c) revised **25147**
(b) removed; (c) redesignated as (b); new (c) added **37593**
(c)(4) added **42595**
240.15b6–1 Revised **25147**
(e) added **42595**
240.15b7–3T Added **42028**
240.15Ba2–2 (d) revised **25148**
(e) added **37594**
(e)(4) added **42596**
240.15Bc3–1 Revised **25148**
(e) added **42596**
240.15Ca1–1 (c) revised **25148**
240.15Cc1–1 Revised **25148**
240.15Ca2–1 (b) removed; (c) redesignated as (b); new (c) added **37594**
(c)(4) added **42596**
240.15Cc1–1 (d) added **42596**
240.15d–10 (g)(4) amended; eff. 9–30–00 ..... **53912**
240.17a–4 (b)(1) revised 13235
240.17a–5 (g)(2) and (3) correctly added; CFR correction **39918**
240.17a–9T Added **42029**
240.17Ad–21T Added **42029**
242.301 (b)(4) amended 13235
249 Technical correction **61962**
249.220f Form 20–F amended; eff. 9–30–00 ..... **53912**
249.446 Form ID amended **56432**
249.480 Added **61406**
249.501a Form BDW revised **25149**
Existing text designated as (a); (b) added **42596**
249 Appendix B—Form BD revised **37594**
259.602 Form ID amended **56432**
260 Technical correction **61962**
260.0–11 (b)(2) and (c)(3) amended; eff. 9–30–00 ..... **53925**
260.4d–10 Added **61406**
269.7 Form ID amended **56432**
270 Compliance date extension **24488**
Authority citation amended **46834**
Technical correction 15933
270.8b–23 (a) revised **27896**
270.8b–32 (c) revised **27896**
270.8f–1 Revised **19471**
270.15a–4 Revised **68023**
270.17j–1 Revised **46834**
Corrected 12943
270.30d–1 (f) added **62547**

NOTE: **Boldface page numbers indicate 1999 changes.**

CHANGES APRIL 1, 1999 THROUGH MARCH 31, 2000

TITLE 17 Chapter II—Con.

270.30d–2 Revised **62547**
271 Interpretive releases **59877**
274.5 Form N–5 amended **27897, 46837, 46838**
274.11 Form N–1 amended **27897**
274.11a–1 Form N–2 amended **27897, 46837**
274.11b Form N–3 amended ... **27897, 46837**
274.11c Form N–4 amended **27897**
274.11A Form N–1A amended **27897, 46836**
274.12 Form N–8B–2 amended **46838**
274.101 Form N–SAR amended **27896**
274.218 Revised **19471**
274.402 Form ID amended **56432**
275.203A–6 Added; eff. 5–3–99 ..... **15683**
275.204–2 (a)(12)(i) and (13)(i) revised; (a)(12)(ii), (iii), (13)(ii) and (iii) redesignated as (a)(12)(iii), (iv), (13)(iii) and (iv); new (a)(12)(iii)(B), (13)(iii)(B) and (C) redesignated as (a)(12)(iii)(C), (13)(iii)(C) and (D); new (a)(12)(ii), (iii)(B), (13)(ii) and (iii)(B) added **46838**
279.1 Form ADV amended; eff. 12–31–99 ..... **15683**

Proposed Rules:

1 ..... **17439, 22588, 32829, 38159, 47151, 59694, 66428, 66432, 72587**
..... 3623, 6569
3 ..... **47452**
4 ..... **41843, 68304**
..... 10939, 11253, 12318
5 ..... **19730, 40528, 66432**
30 ..... **22588, 32829, 46613, 46618**
31 ..... **66432**
32 ..... **47452**
34 ..... **65669**
35 ..... **65669**
146 ..... **52695**
200—399 (Ch. II) 3399
200 ..... **19732**
210 ..... **55648**
..... 4585
228 ..... **55648**
..... 11507, 15044
229 ..... **55648**
..... 4585, 11507
230 ..... **18481, 62548, 72590**
..... 8896, 11507, 15500, 16160
232 11507
239 ..... **59826**
..... 11507, 15500
240 ..... **18393, 18481, 25153, 29608, 41056, 55648, 57996, 59826, 62548, 69975, 70613, 72590**
..... 8896, 11507, 16160
243 ..... **72590**
..... 16160
248 12354
249 ..... **25153, 72590**
..... 4585, 11507, 16160
250 ..... **71341**
..... 11507
259 11507
260 11507
269 11507
270 ..... **18481, 24489, 52476, 59826**
..... 11507, 15500
274 ..... **59826**
..... 11507, 15500
275 ..... **43556, 61226**
279 ..... **61226**

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

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

1b Authority citation revised **17097**
1b.1 (d) added **17097**
1b.21 Added **17097**
2.1 (a)(1)(viii)(A) through (D) removed **26603**
2.55 (a) and (b)(1)(ii) revised; (b)(4)(i) and (d) removed; (b)(4)(ii) redesignated as (b)(4) **26603**
(a)(2) introductory text and (ii) revised **54535**
2.69 Removed **26603**
2.102 Removed **26603**
2 Appendix A added **26603**
3 Removed **44404**
11 Appendix A revised **62572**
35.8 Revised **72537**
35.34 (Subpart F) Added 953
35.34 Revised; eff. 4–7–00 12110
37.5 (c) redesignated as (f); new (c), (d) and (e) added **34124**
(b) revised; eff. 5–30–00 17400
37.6 Heading, (a) introductory text, (4), (5) and (e)(3)(ii) revised; (a)(6) added **34124**
37.8 Added **34124**

NOTE: **Boldface page numbers indicate 1999 changes.**