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CHANGES APRIL 3, 2000 THROUGH JANUARY 31, 2001

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

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

1 Fee schedules **46578**
Technical correction 1375
1.3 (g), (m) and (v) added **78008**
Regulation at 65 FR 78008 withdrawn **82272**
1.10 (a)(2)(i)(B) in part, (ii)(C) in part and remaining (ii)(C) redesignated as (a)(2)(i)(C), (ii)(E) and (D); (a)(2)(i)(B) and new (a)(2)(i)(D) revised; (a)(2)(i)(C) and new (ii)(C) added **78008**
Regulation at 65 FR 78008 withdrawn **82272**
1.17 (c)(5)(v), (e)(1)(ii) and (h)(1)(iii) revised **21311**
(h)(2)(vii)(C) and (3)(vi) revised **51531**
(c)(5)(xiii) revised **66619**
Regulation at 65 FR 78009 withdrawn **82272**
1.20 (a) and (c) revised **78009**
1.25 Revised **78010**
(a)(1)(vii), (b)(2)(i)(A) and (C) revised; (b)(2)(i)(D) redesignated as (b)(2)(i)(E); new (b)(2)(i)(D) and (b)(4)(i)(D) added **82271**
Regulation at 65 FR 78010 withdrawn **82272**
1.26 Revised **78012**
1.27 Amended **78013**
1.28 Amended **78013**
1.29 Amended **78013**
1.33 (g) added **78013**
Regulation at 65 FR 78013 withdrawn **82272**
1.37 (c) and (d) added **77977**
Regulation at 65 FR 77977 withdrawn **82272**
1.41(b) and (i) through (t) removed;(e) redesignated as (i); (a)(1), (c), (d) and new (i) revised; (f) and (g) amended **77977**
Regulation at 65 FR 77977 withdrawn **82272**
1.43 Removed **77979**
Corrected **80497**
Regulation at 65 FR 77979 withdrawn **82272**
1.45 Removed **77979**
Corrected **80497**
Regulation at 65 FR 77979 withdrawn **82272**
1.46 (a) introductory text and (e) revised; (d)(4) through (7) and (9) removed **78013**
Regulation at 65 FR 78013 withdrawn **82272**
1.50 Removed **77979**
Corrected **80497**
Regulation at 65 FR 77979 withdrawn **82272**
1.52 (m) added **78013**
Regulation at 65 FR 78013 withdrawn **82272**
1.55 (d) and (f) revised **78013**
Regulation at 65 FR 78013 withdrawn **82272**
1.59 (a)(2) through (8) redesignated as (a)(4) through (10); new (a)(2) and (3) added; heading, new (a)(4), (b) introductory text, (1) introductory text, (i), (c) and (d) revised **47847**
3 Authority citation revised **78013**
3.1 (a)(1) and (2) revised **78013**
Regulation at 65 FR 78013 withdrawn **82272**
3.10 (a)(1)(i) and (d) revised; (a)(2)(ii) removed; (a)(2)(i) redesignated as (a)(2) **78014**
Regulation at 65 FR 78014 withdrawn **82272**
3.21 (c) introductory text revised **78014**
Regulation at 65 FR 78014 withdrawn **82272**
3.31 (a) redesignated as (a)(1); (a)(2) added **78014**
Regulation at 65 FR 78014 withdrawn **82272**
3.32 Removed **78014**
Regulation at 65 FR 78014 withdrawn **82272**
3.34 Removed **78014**
Regulation at 65 FR 78014 withdrawn **82272**
3 Appendix A amended **78014**
Appendix B amended **78017**
Regulations at 65 FR 78014 and 78017 withdrawn **82272**
4.2 (a) revised **58649**

NOTE: **Boldface page numbers indicate 2000 changes.**

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4.5 (a)(4)(ii), (iii) and (iv) amended; (a)(4)(v) added **24128**
(a)(4) corrected **25980**
4.7 Revised **47854**
4.10 (e)(1) revised **78018**
Regulation at 65 FR 78018 withdrawn **82272**
4.21 (a) revised **58649**
4.22 (f)(1) introductory text, (i) through (v), (2) introductory text, (i), (ii), (3) introductory text, (i) and (ii) redesignated as (f)(1)(i) introductory text, (A) through (E), (ii) introductory text, (A), (B), (iii) introductory text, (A) and (B); new (f)(2) added **81334**
4.24 (f)(1)(v) and (h)(2) revised **78018**
Regulation at 65 FR 78018 withdrawn **82272**
4.26 (a), (b) and (d) revised **58649**
4.32 Added **78018**
Regulation at 65 FR 78018 withdrawn **82272**
4.34 (f)(1)(ii) and (h) revised **78018**
Regulation at 65 FR 78018 withdrawn **82272**
4.36 (d) revised **58650**
5 Fee schedules **46578**
Heading revised **77979**
Regulation at 65 FR 77979 withdrawn **82272**
5.1 Revised **77979**
Regulation at 65 FR 77979 withdrawn **82272**
5.2 Revised **77979**
Regulation at 65 FR 77979 withdrawn **82272**
5.3 Revised **77979**
Regulation at 65 FR 77979 withdrawn **82272**
5 Appendices C and D removed **77981**
Regulation at 65 FR 77981 withdrawn **82272**
15 Authority citation revised **77981**
15.05 Heading revised; (e) through (h) added **77981**
Regulation at 65 FR 77981 withdrawn **82272**
30 Order **60560**
30.1 (d) and (e) added **47280**
30.6 (b) revised **47859**
30.12 Added **47280**
30 Appendix B revised **60558**
35 Revised **78034**
Regulation at 65 FR 78034 withdrawn **82272**
36 Revised **77981**
Regulation at 65 FR 77981 withdrawn **82272**
37 Added **77982**
Regulation at 65 FR 77982 withdrawn **82272**
38 Added **77987**
Regulation at 65 FR 77987 withdrawn **82272**
39 Added **78025**
Regulation at 65 FR 78025 withdrawn **82272**
140.72 (a) amended **64137**
(a) revised 1576
140.73 (a) amended **64137**
(a) introductory text and (1) revised 1576
140.91 (a)(7) added **78018**
Regulation at 65 FR 78018 withdrawn **82272**
140.99 (i)(A) and (B) redesignated as (i)(1) and (2); new (i)(1) amended **47859**
143 Authority citation revised **45711**
143.8 (a) and (c) revised **45711**
146 Authority citation revised **53560**
146.11 (a) introductory text revised **53560**
155.2 Amended **78019**
Regulation at 65 FR 78019 withdrawn **82272**
155.3 Amended **78019**
Regulation at 65 FR 78019 withdrawn **82272**
155.4 Amended **78019**
Regulation at 65 FR 78019 withdrawn **82272**
155.5 Amended **78019**
Regulation at 65 FR 78019 withdrawn **82272**
155.6 Added **78019**
Regulation at 65 FR 78019 withdrawn **82272**
166 Authority citation amended **78019**
166.5 Added **78019**
Regulation at 65 FR 78019 withdrawn **82272**
170.8 Revised **77992**
Regulation at 65 FR 77992 withdrawn **82272**
180 Removed **77992**
Regulation at 65 FR 77992 withdrawn **82272**

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180.3 (b)(2)(vi) revised **47859**

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

200.30–5 (e) introductory text revised; (e)(7) added **57447**
200.30–11 (b)(2) revised **57448**
200.80—200.83 (Subpart D) Authority citation revised **55182**
200.80 (b)(7)(ii) removed; (a)(3), (4), (b)(7)(i) introductory text and (A) through (F) redesignated as (a)(4), (5), (b)(7) introductory text and (i) through (vi); (a)(2) introductory text, (iv), (v), new (4), (b)(4)(ii), new (7)(vi) and (8) amended; (a)(2)(vi) and new (3) added **55182**
(c)(1) introductory text, (i), (iii), (2) and (d)(1) amended; (d)(5), (d)(6) introductory text and (ii) revised **55183**
(d)(8) introductory text and (e)(4) revised; (d)(9) heading and (i) removed; (d)(9)(ii) redesignated as (d)(9); (e) introductory text, (1), (3), (7)(i), (ii) and (8)(iii) amended **55184**
200.303 (a) introductory text amended **55185**
(a)(2), (3) and (b)(2) amended; (a)(4) revised **55186**
200.306 (a) introductory text revised **55186**
200.308 (a)(1) introductory text, (9)(ii) and (b)(1) amended; (a)(2) revised **55186**
200.310 (a) and (b) amended **55186**
200.312 (a)(1) through (6) revised; (a)(7) and (8) removed **55186**
208.83 (c)(2) through (6) revised; (c)(7) and (8) added **55184**
(e)(1) revised; (g), (h) and (i) redesignated as (h), (i) and (j); (d)(1), (e)(2) through (5) and new (h)(1), (2) and (i) amended; new (g) and (k) added **55185**
210 Heading and authority citation revised **76082**
210.2–01 Note, (d), (e) and (f) added; (b) and (c) revised **76082**
210.3–10 Revised **51707**
210.3–16 Added **51710**
211 Staff accounting bulleting **40993**
Interpretive release and Staff Accounting Bulletin **51710**
228.310 Note 3 redesignated as Note 5; new Notes 3 and 4 added **51710**
228.601 (a) table amended; (b)(27) and (28), (c) and Appendices A through F removed **24799**
229.601 (a) table amended; (b)(27) and (28), (c) and Appendices A through F removed **24799**
230 Authority citation amended **47284**
230.110 (b) revised **24799**
230.154 (e) removed **65749**
230.160 Added **47284**
230.237 Added **37676**
230.483 Heading revised; (e) removed **24799**
231 Interpretive releases **25856, 47284**
232.11 Amended **24800**
232.12 (b) and (c) revised **24800**
232.103 Revised **24800**
232.104 (b) revised; (f) added **24800**
232.105 (a), (b) and (c) revised **24800**
232.301 Revised **34080, 39087**
232.302 (a) revised **24800**
232.303 (a)(4) removed **24800**
232.304 (a) amended; (d) revised; (a) note, (e) and (f) added **24801**
232.311 (c) removed; (d) through (i) redesignated as (c) through (h) **24801**
232.401—232.402 Undesignated center heading and sections removed **24801**
232.501 Introductory text revised **24801**
239.12 Form S–2 amended **24801**
239.13 Form S–3 amended **24801**
239.15A Form N–1A amended 3760
239.16 Form S–8 amended **24801**
239.62 Form ET amended **24802**
240 Authority citation revised **76087**
240.0–2 (b) revised **24801**
240.9b–1 (a)(3), (b)(2)(i), (ii), (c) and (d) revised **64137**
240.10b5–1 Added **51737**
240.10b5–2 Added **51738**
240.11Ac1–1 (a)(5), (20) and (d) revised; (b)(3)(i) amended; (a)(26) through (30) and (e) added **75461**
240.11Ac1–5 Added **75436**
240.11Ac1–6 Added **75436**

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240.11Ac1–7 Added **75462**
240.12f–2 (a) revised **53565**
240.12g3–2 (a) revised **37676**
240.12h–5 Added **51711**
240.14a–2 (a)(1)(ii) revised **65749**
240.14a–3 (e)(1) revised **65750**
240.14a–7 (a)(2)(i) and (ii) revised; note designated as note 1 and amended; Note 2 added **65750**
240.14a–101 Amended **65751, 76087**
Amended 3753
240.14b–1 (b)(2) note and (c)(3) added **65751**
240.14b–2 (b)(3) note and (c)(4) added **65751**
240.14c–3 (c) revised **65751**
240.14c–101 Amended **65751**
240.17a–24 Removed **36610**
240.17Ac2–2 Revised **36610**
241 Interpretive releases **25856, 46588**
242.301 Regulation at 63 FR 70921 stayed in part 4–1–00 through 12–1–00 ..... **18888**
Regulation stayed at 63 FR 70922 delayed to 12–1–01 ..... **76572**
243 Added **51738**
248 Added **40362**
249 Authority citation amended **51739**
249.220f Form 20–F amended **51711**
249.308 Amended; Form 8–K amended **51739**
249.445 Form ET amended **24802**
249b.1202 Form TA–2 revised **36610**
250.21 (b)(1) revised **24801**
250.87 (b) corrected; CFR correction **52644**
259.5s Form U5S amended **24801**
259.101 Form U–1 amended **24801**
259.313 Form U–13–60 amended **24802**
259.402 Form U–3A–2 amended **24802**
259.601 Form ET amended **24802**
260.0–5 (b) revised **24802**
270 Authority citation amended 3757
270.0–1 (a)(5) and (6) added 3757
270.2a19–1 Removed; eff. 5–12–01 3758
270.2a19–3 Added 3758
270.7d–1 (b)(8)(v) introductory text revised **25637**
270.7d–2 Added **37677**
270.8b–2 Introductory text amended **24802**
270.8b–23 (a) amended **24802**
270.8b–32 (c)(1) designation and (2) removed **24802**
270.10e–1 Added 3758
270.10f–3 (b)(11) redesignated as (b)(12); new (b)(11) added 3758
270.12b–1 (c) revised 3758
270.15a–4 (b)(2)(vi)(C)(2) and (v) amended; (b)(2)(vii) added 3758
270.17a–7 (e)(3) amended; (f) redesignated as (g); new (f) added 3758
270.17a–8 Authority citation removed 3757
(a)(2) and (b) amended; (c) added 3758
270.17d–1 Authority citation removed 3757
(d)(7)(iii) redesignated as (d)(7)(iv); (d)(7)(ii) and new (iv) amended; new (d)(7)(iii) and (v) added 3759
270.17e–1 Authority citation removed 3757
(b)(3) amended; (c) redesignated as (d); new (c) added 3759
270.17f–4 (b) introductory text revised **25637**
270.17f–5 Revised **25637**
270.17f–7 Added **25638**
270.17g–1 Authority citation removed 3757
(j) revised 3759
270.18f–3 (e) redesignated as (f); new (e) added 3759
270.23c–3 (b)(8) revised 3759
270.30d–1 Authority citation removed 3757
Redesignated as 270.30e–1 3759
270.30d–2 Redesignated as 270.30e–2 3759
270.30e–1 Redesignated from 270.30d–1; (a) amended; (d) revised 3759
270.30e–2 Redesignated from 270.30d–1; (a) and (f) amended 3759
270.31a–2 Authority citation removed 3757
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270.32a–4 Added 3759
271 Interpretive releases **25857, 46588, 47284**
274.11A Form N–1A amended 3760
274.101 Form N–SAR amended **24802**

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275 Authority citation amended....57448
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275.203A–2 (b)(3) amended; (d)(2), (3), (e)(2), (3) and (4) revised....57450
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