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CHANGES APRIL 3, 2000 THROUGH MARCH 30, 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Regulation at 65 FR 78008 withdrawn **82272**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Regulation at 65 FR 78008 withdrawn **82272**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Regulation at 65 FR 78009 withdrawn **82272**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Regulation at 65 FR 78010 withdrawn **82272**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Regulation at 65 FR 78013 withdrawn **82272**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Regulation at 65 FR 77977 withdrawn **82272**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Regulation at 65 FR 77977 withdrawn **82272**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Regulation at 65 FR 77979 withdrawn **82272**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Regulation at 65 FR 77979 withdrawn **82272**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Regulation at 65 FR 78013 withdrawn **82272**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Regulation at 65 FR 77979 withdrawn **82272**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Regulation at 65 FR 78013 withdrawn **82272**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Regulation at 65 FR 78013 withdrawn **82272**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Regulation at 65 FR 78013 withdrawn **82272**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Regulation at 65 FR 78014 withdrawn **82272**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.**

CHANGES APRIL 3, 2000 THROUGH MARCH 30, 2001

TITLE 17 Chapter I—Con.

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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CHANGES APRIL 3, 2000 THROUGH MARCH 30, 2001

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

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

200.30–3 (a)(69) and (70) added 11536
(a)(28) amended; (a)(71) added 15792
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), (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**
200.83 (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**
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**
201.1001 Revised 8762
201.1002 Added 8762
201.1001—201.1002 (Subpart E) Table I amended; Table II added 8762
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**
Authority citation revised 8896, 9017
230.110 (b) revised **24799**
230.154 (e) removed **65749**
230.155 Added 8896
230.160 Added **47284**
230.237 Added **37676**
230.429 Revised 8896
230.457 (f)(5), (p) and (q) added; (o) amended 8896
230.477 (b) amended; (c) revised; (d) added 8897
230.482 (e)(3)(iv) amended; (e)(4) and (f) redesignated as (e)(5) and (g); new (e)(4) and (f) added; new (e)(5) revised; eff. 4–16–01 9017
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**
Revised 8765
232.302 (a) revised **24800**
232.303 (a)(4) removed **24800**
232.304 (a) amended; (a) note, (e) and (f) added; (d) revised **24801**
232.311 (c) removed; (d) through (i) redesignated as (c) through (h) **24801**

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CHANGES APRIL 3, 2000 THROUGH MARCH 30, 2001

TITLE 17 Chapter II—Con.

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**
239.14 Form N–2 corrected 13234
239.15A Form N–1A amended 3760
Form N–1A amended; eff. 4–16–01 ..... 9018, 9019
Form N–1A corrected 13234
239.16 Form S–8 amended **24801**
239.17a Form N–3 corrected 13234
239.62 Form ET amended **24802**
240 Authority citation revised **76087**
Compliance date extended 15792
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**
Regulation at 65 FR 75436 compliance date extended to 5–1–01 15028
240.11Ac1–6 Added **75436**
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
Corrected 13234
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
Technical correction 13234
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 3758
270.17e–1 Authority citation removed 3757

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

CHANGES APRIL 3, 2000 THROUGH MARCH 30, 2001

(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 (b) amended 3759
270.31a–2 Authority citation removed 3757
(a)(3) amended; (a)(4) and (5) added 3759
270.32a–4 Added 3759
270.34b–1 (b)(1)(iii)(B) and (C) redesignated as (b)(1)(iii)(D) and (E); new (b)(1)(iii)(B) and (C) added; (b)(3) revised; eff. 4–16–01 9018
270.35d–1 Added 8518
(a)(4) corrected 14828
271 Interpretive releases **25857, 46588, 47284**
274.11A Form N–1A amended 3760
Form N–1A amended; eff. 4–16–01 ....9018, 9019
Form N–1A corrected 13234
274.11a–1 Form N–2 corrected 13234
274.11b Form N–3 corrected 13234
274.24 Form 24F–2 amended 14072
274.101 Form N–SAR amended **24802**
274.401 Form ET amended **24802**
275 Authority citation amended **57448**
275.0–2 Revised **57448**
275.0–7 (a)(1) and (b)(1) revised **57448**
275.203–1 Revised **57448**
(b)(2) note corrected **81737**
275.203–2 Revised **57449**
275.230–3 Added **57449**
(a)(1), (2)(i), (3), (b)(2), (3) and note corrected **81738**
275.203A–1 Revised **57449**
275.203A–2 (b)(3) amended; (d)(2), (3), (e)(2), (3) and (4) revised **57450**
275.204–1 Revised **57450**
(c) note corrected **81738**
275.204–5 Removed **57450**
279.1 Form ADV revised **57451**
279.2 Form ADV–W revised **57451**
279.3 Form ADV–H added **57451**
279.4 Form ADV–NR revised **57451**
279.5 Removed **57451**
279.6 Removed **57451**
279.7 Removed **57451**
279.9 Removed **57451**
279 Appendices A and B corrected **81738**
Appendix B corrected **81739**

Proposed Rules:

1 ....**35304, 38986, 39008, 39039, 49208, 52051, 64904**
....14262, 14507
3 ....**39008, 39039, 49208**
4 ....**20395, 39008, 39039, 46122, 49208, 66663**
5 ....**38986, 39039, 49208**
....14262
15 ....**38986, 39039, 49208**
....14262
20 ....**38986, 39039, 49208**
30 ....**53946**
32 ....**77838**
35 ....**39033, 49208**
36 ....**38986, 39039, 49208**
....14262
37 ....**38986, 39039, 49208**
....14262
38 ....**38986, 39039, 49208**
....14262
39 ....**39027, 39039, 49208**
40 14262
41 14262
100 ....**38986, 39039, 49208**
....14262
140 ....**39008, 39039, 49208**
155 ....**39008, 39039, 49208**
160 15550
166 ....**39008, 39039, 49208**
....14262
170 ....**38986, 39039, 49208**
....14262
180 ....**38986, 39039, 49208**
....14262

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

CHANGES APRIL 3, 2000 THROUGH MARCH 30, 2001

TITLE 17 *Proposed Rules:—Con.*

190.....14507
200.....**20524**
200—399 (Ch. II).....13273
210.....**43148, 49955, 54189**
228.....8732
229.....8732
240.....**26534, 43148, 47918, 48406, 49955, 54189, 59766**
.....8732, 8912
249.....8732, 8912
250.....9247
257.....16158
259.....9247
270.....**76189**
.....15369
275.....**20524**
.....15369
279.....**20524**
450.....11548

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

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

2.1 Corrected.....**18221**
2.55 (b)(4) correctly revised.....**18221**
11 Appendix A revised.....**76917**
33 Revised.....**71014**
Policy statement.....11536
Order.....16121
33.3 (c)(*5*) and (*6*) corrected.....**76005**
35 Order.....**45854**
35.5 Existing text designated as (a); (b) added.....**18227**
35.8 (b) corrected.....**18229**
35.9 Revised.....**18227**
35.18 Removed.....**18227**
37 Order.....**65262**
101 Amended.....**47663**
125 Authority citation revised.....**48155**
Order.....**69251**
125.1 Revised.....**48155**
125.2 (a)(1), (2), (3) and (d) through (m) revised; (n) removed.....**48155**
125.3 Revised.....**48156**
Table corrected.....**50638**
154 Order.....**20902, 47284**
157.22 (e)(1) revised; (e)(5), (6) and (7) redesignated as (e)(6), (7) and (8); new (e)(5) added.....**65757**
157.100—157.106 (Subpart E) Removed.....**45859**
157.207 (f) and (g) redesignated as (g) and (h); new (f) added.....15347
157.208 (d) Table I revised.....14486
157.215 (a) Table II revised.....14486
161 Order.....**20902, 47284**
225 Authority citation revised.....**48160**
Order.....**69251**
225.1 Revised.....**48160**
225.2 (a)(1), (2), (3) and (d) through (m) revised; (n) removed.....**48160**
225.3 Revised.....**48161**
Table corrected.....**50638**
250 Order.....**20902, 47284**
260.9 (b) and (c) revised.....**80307**
270 (Subchapter H) Added.....**45865**
284 Order.....**20902, 41873, 43688, 47284, 59111**
Notice.....**41581, 75627**
Notice.....10980
284.8 (i) revised.....**35765**
284.12 (c)(2)(iii) amended; (c)(2)(v) revised.....**35765**
(b)(1)(i) through (v) revised; (b)(2) amended.....**77290**
284.13 (b)(1) introductory text, (viii), (2) introductory text, (iv), (vi) and (d)(1) revised; (f) added.....**35765**
284.106 Removed.....**35765**
284.221 (d)(2)(ii) revised.....**35765**
330 (Subchapter O) Added.....**20370**
330.2 (b)(9)(i) through (iv) redesignated as (c)(1) through (4); (b)(9) introductory text removed; (a)(6), (b) introductory text, (7), (8) and new (c) revised.....**47304**
330.3 (a)(1), (2), (3), (b) and (c) revised.....**47304**
342 Order.....**79711**
352 Authority citation revised; section amended.....**81342**
Policy statement.....10537
356 Revised.....**48166**
Order.....**69251**
357 Authority citation revised.....**81344**
Policy statement.....10537
357.2 Revised.....**81344**
Regulation at 65 FR 81342 and 81343 eff. date delayed confirmed.....11537
375.307 (p) added.....**45872**
381.302 (a) amended.....3452

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