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CHANGES APRIL 1, 2002 THROUGH JANUARY 31, 2003

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

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

1 Fee schedule **44036**
Technical correction **63966, 67445**
1.3 (gg)(4), (vv) and (ww) added **58297**
1.12 (g)(3) and (h) amended **62351**
1.41a Removed **62353**
1.41c Removed **62353**
1.42 Removed **62353**
1.55 (h) added **58297**
1.62 (b) amended **62351**
1.65 (d) amended **62351**
1.66 (b)(5)(ii) amended **62351**
3.2 (c) revised **38874**
3.10 (a)(2)(i) revised; (d) removed **38874**
Corrected **41166**
3.11 (a)(2), (3) and (b) revised; (C) and (d) removed **38874**
3.12 (c)(1), (4), (d)(1) introductory text and (f) revised; (d)(2) and (3) redesignated as (d)(3) and (4); new (d)(2) added **38874**
3.12 (g)(2)(i) and (ii) amended **62351**
3.22 Amended **62351**
3.31 (a)(2) redesignated as (a)(3); new (a)(2) added; (a)(1) and new (3) revised; (d) amended **38875**
3.33 (b) introductory text and (e) amended; (b)(3) and (d) removed; (b)(4) through (7) and (c)(2) redesignated as (b)(3) through (6) and (c) **38876**
(e) amended **62351**
3.40 Revised **38876**
3.41 Removed **38876**
3.42 (a)(2), (3), (4) and (6) revised **38876**
3.44 (a)(4) introductory text and (5) revised **38876**
3.46 (a)(6) and (8) revised **38876**
3.50 (c) and (d) amended **62351**
3.55 (e)(2) amended **62351**
3.56 (e)(2) amended **62351**
3.63 Amended **62351**
3.70 (a) amended **62351, 62352**
3 Appendix A amended **62352**
4 Technical correction **44931**
4.2 (a) amended **62352**
4.5 (c) introductory text, (3) and (d)(1) amended; (f)(3) removed; (f)(4) redesignated as (f)(3) **77410**
4.7 (b)(3)(i), (d)(1)(viii), (ix) and (3) amended; (d)(2) revised **77411**
4.12 (b)(3)(vii) removed; (b)(3)(viii) redesignated as new (b)(3)(vii); (b)(3) introductory text, new (vii) and (5)(ii) amended **77411**
4.13 (b)(1)(iv)(A) removed; (b)(1)(iv)(B) redesignated as (b)(1)(vii)(A) **77411**
4.14 (a)(8)(v)(C) removed; (a)(8)(v)(D) redesignated as (a)(8)(v)(C); (a)(8)(iii) and new (v)(C) amended **77411**
4.22 (c) introductory text, (f)(1) and (2)(i) amended **77411**
4.26 (c) removed; (b) redesignated as new (c); new (b) added **42710**
4.26 (d) revised **77411**
4.36 (d) amended **77411**
9.2 (h) amended **62352**
9.11 (c) amended **62352**
9.12 (b) amended **62352**
9.26 Amended **62352**
9.31 (a) amended **62352**
11 Technical correction **39473**
11.2 (a) amended **62352**
11.4 (e) and (f) added **37322**
15.03 (b) revised **64524**
16.07 Amended **62352**
17.03 Amended **62352**
18.03 Amended **62352**
19.00 (a)(3) amended **62352**
21.02a (c) amended **62352**
30 Order **30785, 45056**
31.6 (f)(1) and (2) amended **62352**
31.13 (n)(1) amended **62352**
31.14 (a) amended **62352**
36.3 (b)(2)(ii) amended **62352**
37 Authority citation revised **62876**
37.2 Revised **62876**
37.5 (f)(1) and (2) amended **62352**
(a), (b) and (f)(1) revised **62876**
37.6 (a), (b) introductory text, (1), (2), (i) introductory text, (iii) and (c) revised **62877**
37.8 (d) amended **62352**
38 Authority citation revised **62877**
38.2 Revised **62877**
38.3 (e)(1) and (2) amended **62352**
(a) revised **62878**
38.4 (a)(2) revised **62878**

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TITLE 17 Chapter I—Con.

38.5 (c) added **62878**
38 Appendix B amended **62352**
39 Authority citation revised **62878**
39.3 (e)(1) and (2) amended **62352**
39.4 Heading revised; (c) text redesignated as (c)(2); (c)(1) added **62878**
40 Fee schedule **38379**
Authority citation revised **62878**
40.1 Amended **62878**
40.3 (a)(4) revised; (a)(5) added **62879**
40.4 (b)(5) and (6) revised; (b)(7) and (8) added **62879**
40.5 (a)(1)(v) and (vi) revised; (a)(1)(vii) added **62879**
40.6 (a)(2) amended; (c)(2)(iii), (iv), (3)(ii)(B), (C) AND (D) revised; (c)(2)(v) and (3)(ii)(E) added **62879**
40.7 (a)(1), (2) and (b) introductory text amended **62352**
(b)(1) revised **62880**
40.8 Added **62880**
40 Appendix C amended **62880**
41 Authority citation revised **36761, 53171, 58297**
Heading revised **53171**
Technical correction **67445**
41.1 (j), (k) and (l) added **36761**
41.3 Redesignated from 41.41 ..... **53171**
(d) amended **62352**
41.25 (a)(2) and (d) added; (b) revised **36761**
41.33 (g)(1) and (2) amended **62352**
41.41 Redesignated as 41.3 ..... **53171**
Added **58297**
41.42—41.49 (Subpart E) Added **53171**
140.72 (a) amended **62352**
140.73 (a) and (b) amended **62352**
140.74 (a), (b) and (c) amended **62352**
140.75 Amended **62352**
140.76 (a) and (b) amended **62352**
140.77 (a), (b) and (c) amended **62353**
140.91 (a) and (b) amended **62353**
140.92 (a), (b) and (c) amended **62353**
140.93 (a), (b) and (c) amended **62353**
140.95 (a), (b) and (c) amended **62353**
140.96 (a) through (d) amended **62353**
140.97 (a), (b) and (c) amended **62353**
140.99 (a)(5) amended; (d)(2) revised **62353**
140.100 Added **45299**
Removed **62354**
140.735–2a Note 7 amended **62353**
145.6 (a) amended **62353**
(b)(2) revised **63539**
145 Appendix A amended **62353, 63539**
150.3 (b) amended **62353**
150.4 (e) amended **62353**
170.12 Amended **62353**
171.28 Amended **62353**
171.31 (a) amended **62353**
190 Technical correction **67445**
190.01 (f) revised; (kk)(9) added **58298**
190.02 (d)(8) amended; (d)(11) and (12) redesignated as(d)(12) and (13); new (d)(11) added **58298**
190.07 (b)(1)(iii)(B)(*3*) revised **58298**
190.08 (a)(2)(v) and (vi) revised; (a)(2)(vii) added **58298**
190.10 (h) added **58298**
(a), (b)(4), (d) heading, (1), (2) and (3) amended **62353**
190 Appendix A amended **58298**

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

200.20b (a) revised **43535**
200.30–3 (a)(77) added **65037**
200.30–7 (a)(12) added; authority citation removed **30326**
200.30–14 (g)(1)(xv) added **56220**
210 Authority citation revised 4871
210.2–06 Added 4872
210.3–01 (c) introductory text and (d) amended; (e) revised; (i) added **58503**
210.3–09 Authority citation removed; (a) and (b) amended; (b)(1) through (4) added **58504**
210.3–12 (a) and (b) amended; (g) added **58504**
228 Authority citation revised **57287**
Authority citation amended 4830, 5125
228.10 (h) added 4830
228.307 Added **57287**
228.401 (e) added 5125
228.406 Added 5126
228.601 Table amended; (b)(14) added 5126
229 Authority citation revised **57287**
Authority citation amended 4831, 5127
229.10 Heading revised; (h) added 4831
229.101 (e) revised **58504**
229.307 Added **57287**
229.401(h) added 5127
229.406 Added 5127

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229.601 Table amended; (b)(14) added 5127
230 Authority citation amended **19673**
Authority citation amended 5128
230.134b Revised **19868**
230.238 Added 192
230.403 (c) revised; authority citation removed **36698**
230.405 Amended **19673**
230.430 (b) introductory text revised **19868**
230.430A (e) revised **19869**
230.493 Revised **36699**
230.495 (a), (c) and (d) revised **19869**
230.496 Revised **19869**
230.497 (c) and (e) revised **19869**
231 Interpretive releases **43246**
232 Authority citation revised **57287**
232.100 (a) and (c) revised **36699**
232.101 (a)(1)(iii) note, (c)(16) and (17) redesignated as (a)(1)(iii) Note 1, (c)(15) and (16); (a)(1)(iii) Note 2, (a)(1)(vi), (vii), (viii) and (b)(7) through (10) added; (a)(1)(iv), (v), (c)(5), (6), (14), new (c)(15) and (16) amended; (b)(1), (6) and (c)(9) revised; (c)(15) and (d) removed **36699**
232.302 (a) and (b) revised **57287**
232.303 (b) revised **36700**
232.306 (a) revised; (b) redesignated as (e); new (b), (c) and (d) added **36700**
232.311 (f), (g) and (h) redesignated as (h), (i) and (j); new (f) and (g) added **36700**
232.601 Removed **36700**
239 Authority citation amended **19869**
239.17b Form N-4 amended **69979**
239.17c Added **19870**
Form N-6 amended **69981**
239.31 Form F–1 amended **36700**
239.32 Form F–2 amended **36701**
239.33 Form F–3 amended **36701**
239.34 Form F–4 amended **36701**
239.36 Form F–6 amended **36702**
239.37 Form F–7 amended **36702**
239.38 Form F–8 amended **36702**
239.39 Form F–9 amended **36703**
239.40 Form F–10 amended **36703**
239.41 Form F–80 amended **36704**
239.42 Form F–X amended **36709**
239.800 Form CB amended **36707**
240 Authority citation amended **57288, 58299**
Authority citation amended 4355
240.3a4–1 Undesignated center heading removed **19673**
240.3a11–1 Revised **19673**
240.6h–1 Added **36762**
240.9b–1 (b)(1) amended; (c)(8) revised; authority citation removed 192
240.10b–10 (a)(2)(i)(C), (b)(2) and (3) amended; (a)(7)(i) through (iv) and authority citation removed; (e) redesignated as (f); new (e) added **58312**
240.11aC1–7 Removed **79458**
240.11d2–1 Added **58313**
240.12a–9 Added 192
240.12b–2 Amended **58505**
240.12b–12 (d) revised; authority citation removed **36704**
240.12b–15 Revised **57288**
240.12h–1 (b)(2) and (c) amended; (d) and (e) added; authority citation removed 192
240.13a–1 (b) revised; authority citation removed 4355
240.13a–10 Note redesignated as Note 1; Note 2 added **57288**
(b), (c), (e)(2) and (f) amended; (j) added **58505**
240.13a–14 Added **57288**
240.13a–15 Added **57289**
240.13e–102 Amended **36705**
240.14d–102 Amended **36705**
240.14d–103 Amended **36706**
240.15c3–3 Authority citation removed; (a)(1) amended; (a)(14), (15) and (o) added **58299**
240.15d–5 Corrected; CFR correction **59779**
240.15d–10 Authority citation revised **57288**
Note redesignated as Note 1; Note 2 added **57289**
(b), (c), (e)(2) and (f) amended; (j) added **58505**
240.15d–11 (b) revised; authority citation removed 4355
240.15d–14 Added **57289**
240.15d–15 Added **57290**
240.16a–2 Introductory text amended **43535**
240.16a–3 (d) revised **43535**
(f)(1)(i)(A) and (g) revised **56467**

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TITLE 17 Chapter II—Con.

240.16a–6 (a) introductory text and (b) revised **56467**
240.16a–8 (a)(1) revised **56467**
240.17a–3 (f) added **58299**
240.17a–4 (b)(9) revised; (k) and (l) redesignated as as (l) and (m); new (k) added; eff. in part 5–2–03 ..... **58299**
240.17a–5 (l)(4) added **58300**
240.17a–7 (a)(1) and (2) amended; (c) redesignated as (d); new (c) added **58300**
240.17a–11 (i) added **58300**
240.17a–13 (e) redesignated as (f); new (e) added **58300**
240.31–1 Amended **46108**
241 Interpretive releases **43246**
242 Authority citation revised **53176**
242.100 Undesignated center heading added **53176**
242.400 Added **53176**
242.401 Added **53176**
242.402 Added **53176**
242.403 Added **53176**
242.404 Added **53176**
242.405 Added **53176**
242.406 Added **53176**
244 Added 4832
245 Added 4355
249 Authority citation amended **57290**
Authority citation amended 5128
249.103 Amended **43535**
Form 3 amended **56467**
249.104 Amended **43535**
Form 4 amended **56468**
249.105 Amended **43535**
Form 5 amended **56468**
249.220f Form 20–F amended **36706, 57293**
Form 20–F amended 4358, 5129
249.240f Form 40–F amended **36707, 57294**
Form 40–F amended 4359, 5130
249.250 Form F–X amended **36709**
249.306 Form 6–K amended **36708**
Authority citation revised 4358
Form 8–K amended 4359, 4833
249.308 Form 8–K amended **5128**
249.308a Form 10–Q amended **57290**
Revised; Form 10–Q amended **58506**
249.308b Form 10–QSB amended **57291**
249.310 Authority citation revised **57290**
Form 10–K amended **57292**
Revised; Form 10–K amended **58506**
Form 10–K amended 5131
249.310b Form 10–KSB amended **57293**
Form 10–KSB amended 5132
249.330 Form N–SAR amended **57296**
249.480 Form CB amended **36707**
269.5 Form F–X amended **36709**
270 Authority citation amended **19870, 57295**
270.3a–1 Introductory text and (b) revised **43536**
270.3a–2 (a) introductory text revised **43536**
270.3a–3 Introductory text and (b) revised **43536**
270.3a–5 (a) introductory text revised **43536**
270.3a–6 (a) revised **43536**
270.6c–6 (h) introductory text revised **43536**
270.6e–2 (b)(15)(iv) revised **43536**
270.6e–3(T) (b)(15)(iii)(B) revised **43536**
270.8b–11 Authority citation removed; (b) revised **19870**
270.8b–12 (b) revised **19870**
270.10f–3 (b)(1) and (4) revised **31079**
(b) redesignated as (c); (a)(6), (7), (8) and new (b) added; (c) heading and (7) revised 3152
270.12d3–1 (c) revised; (d)(9) added 3152
270.17a–6 Revised 3152
270.17a–8 Revised **48518**
270.17a–10 Added 3153
270.17d–1 (d)(5) and (6) revised 3153
270.17e–1 (b)(3) and (d) revised 3154
270.30a–2 Added **57295**
270.30b1–3 Amended **57296**
270.30f–1 Redesignated as 270.30h–1; revised **43537**
270.30h–1 Redesignated from 270.30f–1 ..... **43537**
274 Authority citation revised, ... **19870, 57296, 69979**
Form N–1A amended **19870**
274.11c Form N-4 amended **69979**
274.11d Added **19870**
Form N-6 amended **69981**
274.12 Revised; Form N–8B–2 amended; Form N–6 added **19870**
274.101 Form N-SAR amended **31079, 57296**
274.202 Revised **43537**

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Form 3 amended **43537, 56467**
274.203 Revised **43537**
275.203A–2 (f) added **77625**
279.1 Form ADV amended **77625**

Chapter IV—Department of the Treasury (Parts 400--499)

420.2 (c) revised **77414**
420.3 (c)(1), (2) and (3) revised **77415**
420 Appendix B amended **77415**
Appendix B corrected 402

Proposed Rules:

1 ..... **52641**
3 ..... **19358**
4 ..... **65743, 68785, 69598, 77446**
2254
15 ..... **50608**
37 ..... **20702**
38 ..... **20702**
39 ..... **20702,**
40 ..... **20702, 65325**
71 ..... **69598**
190 ..... **52641**
205 ..... **71670**
210 ..... **44964, 66208, 71018, 76780**
160
228 ..... **35620, 42914, 66208, 68054, 68790, 77594**
2638
229 ..... **19896, 35620, 42914, 44964, 66208, 68054, 68790, 77594**
2638
230 ..... **19914, 36712, 50326, 79466**
232 ..... **41877, 51508, 79466**
239 ..... **19886, 19914, 36712, 60828, 79466**
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240 ..... **19896, 30628, 38588, 38610, 39642, 39647, 41877, 42914, 50326, 51508, 59748, 65325, 66208, 67496, 69430, 71909, 76780, 77594, 79466**
2638
242 ..... **51510**
244 ..... **68790**
245 ..... **69430**
249 ..... **19896, 19914, 35620, 38610, 41877, 42914, 51508, 57298, 60828, 68054, 68790, 69430, 76780, 79466**
160, 2638
250 ..... **79466**
259 ..... **79466**
260 ..... **79466**
269 ..... **79466**
270 ..... **31081, 36712, 57298, 66208, 71915**
160
274 ..... **19886, 36712, 57298, 60828, 66208, 76780, 77594, 79466**
160, 2638
275 ..... **19500, 48579, 60841**
279 ..... **19500, 48579**
420 ..... **49630**

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

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

2.8 Removed **31069**
11 Appendix A revised **70159**
35 Heading revised **31069**
Order **39272**
35.1 Heading revised; (g) added **31069**
35.10a Added **31069**
35.10b Added **31069**
35.25 (c)(1)(ii)(C) removed; (c)(1)(ii)(D) redesignated as new (c)(1)(ii)(C) **36096**
101 Amended **67701**
Regulation at 67 FR 67701 eff. date corrected **70007**
141.1 (b)(1)(i) and (2) revised **36096**
201 Amended **67703**
Regulation at 67 FR 67703 eff. date corrected **70007**
260.1 (b) revised 269
260.2 (b) revised 269
284 Policy statement **37669**
Order **44529, 49564**
284.12 (a) removed; (b) and (c) redesignated as new (a) and (b); new (a)(1)(i) through (v) amended **30794**
284.241—284.242 (Subpart H) Removed **72099**
352 Amended **67706**
Regulation at 67 FR 67706 eff. date corrected **70007**
357.2 (c)(3) revised 269
375.302 (x) added; eff. 1–7–03 ..... **52410**
381.302 (a) amended **54087**
381.303 (a) amended **54087**
381.304 (a) amended **54087**
381.305 (a) amended **54087**
381.403 Amended **54087**
381.505 (a) amended **54087**
381.801 Amended **54087**
385 Authority citation revised **52412**

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