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CHANGES APRIL 1, 2003 THROUGH NOVEMBER 28, 2003

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

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

1.35 (a)–(1)(5) revised	34794
4.5 (c)(2)(i) and (ii) removed; (c)(2)(iii) and (iv) redesignated as (c)(2)(i); new (c)(2)(i), (ii) and (f)(2) revised; (g) added.....	47230
4.7 (a)(2)(vi), (3)(vii) and (d)(1)(vii) revised	47231
4.10 (m) added	42967
4.12 (b)(3)(vi) revised.....	47231
4.13 (c) and (d) redesignated as (d) and (e); (a)(1)(iv) amended; (a)(2), (b), new (d) and (e) revised; introductory text, (a)(3), (4), (5), new (c) and (f) added	47231
(e)(2)(i)(B) and (ii) corrected; (e)(iii) added	52837
Introductory text corrected	59113
4.14 Introductory text and (a)(10) added; (a)(8) and (c) revised; (a)(9)(ii) amended	47233
(a)(8)(iii)(A)(2) and (c)(2) corrected	52837
(a)(8)(i)(D) corrected.....	59114
4.21 (a) revised	47234
4.22 (a) introductory text, (c) introductory text, (h)(1) and (3) revised; (a)(4), (c)(6), (i) and (j) added.....	47234
(c) corrected; (j) introductory text, (A), (B) and (ii) redesignated as (j)(1), (1)(i), (ii) and (2)	52837
4.25 (a)(1)(ii)(H) added.....	42967
4.31 (a) revised	47235
(a) corrected.....	59114
4.35 (a)(7) and (8) redesignated as (a)(8) and (9); new (a)(7) added	42967
(a)(1)(viii) revised	47235
4 Appendices A and B added	47236
Appendix A corrected.....	52837
Appendix B corrected.....	53430
18.04 correctly removed: CFR correction.....	48549
30 Order	39006
Authority citation revised	40499
Technical correction	46446

30.5 Introductory text, (a) and (b) revised; (e) removed	40499
30 Appendix D redesignated from Part 40 Appendix C; new Appendix D revised.....	33624
Appendix C amended	58587
40 Appendix C redesignated as Part 30 Appendix D.....	33624
42 Added	25159

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

200.30–13 Revised.....	50954
201.100–201.900 (Subpart D) Authority citation revised	35788
201.161 (a) amended; (b) introductory text and (1) revised; (b)(2) redesignated as (c)(1); new (b)(2) and (c)(2) added	35788
201.230 (d) amended.....	35789
201.360 (a) redesignated as (a)(1); (a)(2) and (3) added	35789
201.450 (a) amended.....	35789
201.900 (a)(1)(i) removed; (a)(1)(ii), (iii) and (iv) redesignated as new (a)(1)(i), (ii) and (iii); new (a)(1)(iii) revised	35789
202.3a (c) added	50955
210 Authority citation revised.....	36660
210.1–02 (a) redesignated as (a)(1); (a)(2) added; authority citation removed	36660
210.2–02 Heading, (a) heading, (b) heading, (c) heading and (d) heading revised; (f) added.....	36660
210.3–01 (e)(1) and (i)(2) revised	17880
210.3–12 (g)(1) revised	17881
211 Staff accounting bulletin	26840
228 Policy statement	15939
Authority citation revised	18817,
36660, 64968, 67008	
228.307 Revised.....	36660
228.308 Added	36661
228.401 (f) added	18817
(e)(2)(iv) amended.....	36661
(g) added	67008
228.601 (a)(1) amended; Exhibit table, (b)(7), (11) heading and (27) through (98) revised	36661
228.703 Added	64968
229 Policy statement	15939
Authority citation revised	18817,
36663, 64969, 67009	

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TITLE 17 Chapter II—Con.

229.307 Revised.....	36663	240.15d–14 (c) removed; (d), (e) and (f) redesignated as (c), (d) and (e); (a), (b), new (c), (d) introductory text and (e) revised; new (f) added.....	36666
229.308 Added.....	36663	240.15d–15 Revised.....	36667
229.401 (h) <i>Instruction 3</i> revised; (i) added.....	18817	240.16a–3 (k) added; (h) revised.....	25799
(h)(2)(iv) amended.....	36663	240.17a–5 (c)(1) introductory text amended; (c)(2) introductory text and (3) revised; (c)(5) added.....	46452
(j) added.....	67009	241 Policy statement...25283, 32311, 65822	
229.601 (a)(1) amended; Exhibit table and (b)(27) through (98) revised.....	36663	244 Policy statement.....	15939
229.703 Added.....	64969	249 Policy statement.....	15939
230 Authority citation revised.....	57777	Authority citation amended.....	18821, 36667
230.110 (b) revised.....	25798	Authority citation revised.....	64972, 67010
230.134 (a)(3)(iii), (13) and authority citation removed; (a)(3)(iv) and (14) redesignated as new (a)(3)(iii) and (13); new (a)(3)(iii) amended; (e) revised.....	57777	249.103 Form 3 amended.....	25800
230.156 (b)(2)(i) revised; authority citation removed.....	57777	249.104 Form 4 amended.....	25801
230.482 Revised.....	57777	249.105 Form 5 amended.....	25802
232 Technical correction.....	53289	249.220f Form 20–F amended.....	18821, 36668, 64972
232.12 (b) revised.....	25799	249.240f Form 40–F amended.....	18822, 36670
232.13 (a)(4) added.....	25799	249.308 Authority citation revised.....	64972
232.101 (a)(1)(iii) revised; (b)(4) removed; (b)(5) through (10) redesignated as (b)(4) through (9).....	25799	249.308a Form 10–Q amended.....	36667, 64974, 67011
232.104 (a) revised.....	25799	249.308b Form 10–QSB amended.....	36667, 64974, 67011
232.201 (a) introductory text revised.....	25799	249.310 Form 10–K amended...36668, 64974	
232.301 Revised.....	24346, 44878	249.310b Form 10–KSB amended.....	36668, 64974
239 Authority citation amended.....	25799	249.330 Form N–SAR amended.....	36672
239.15a Form N–1A amended.....	57780	249.331 Form N–CSR amended.....	18822, 36672, 64975, 67011
239.17a Form N–3 amended....	57780, 57781	249.445 Removed.....	25800
239.17b Form N–4 amended....	57781, 57782	250.21 (b)(1) revised.....	25800
239.17c Form N–6 amended.....	57782	259.601 Removed.....	25800
239.62 Removed.....	25799	260.0–5 (b) revised.....	25800
239.144 (c) amended.....	25799	269.6 Removed.....	25800
240 Authority citation revised.....	18818, 36665, 64970, 67009	270 Authority citation amended.....	36671
Authority citation amended.....	46451	270.0–11 Added.....	25146
240.0–2 (b) revised.....	25799	270.3a–8 Added.....	37052
240.10A–3 Added.....	18818	270.8b–15 Amended.....	36671
240.10b–18 Revised.....	64970	270.23c–1 (a)(11) revised; eff. 7–15–04.....	64975
240.12b–15 Revised.....	36665	270.30a–2 Revised.....	36671
240.13a–14 (c) removed; (d), (e) and (f) redesignated as (c), (d) and (e); (a), (b), new (c), (d) introductory text and (e) revised; new (f) added.....	36665	(a) and (b) amended.....	67011
240.13a–15 Revised.....	36666	270.30a–3 Revised.....	36671
240.13b2–2 Revised.....	31830	270.34b–1 Introductory text note added; (a) and (b)(1)(i) revised; (b)(1)(ii)(A), (B), (C),	
240.14a–101 Amended.....	18821, 67009		

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(iii)(A) through (E), (2) and (3) amended	57779	2.7 (b) amended	51115
274 Authority citation amended	36672	4.30 (a) revised; (b)(9)(ii) and (23) amended	51115
274.11A Form N-1A amended	57780	4.32 Amended; (b)(2) revised	51115
274.11b Form N-3 amended	57780, 57781	(k) added	52094
274.11c Form N-4 amended	57781, 57782	(a)(5)(vi), (b)(2) and (h) correctly amended	61742
274.11d Form N-6 amended	57782	4.33 (a)(2) redesignated as (a)(3); new (a)(2) added; (b) revised	51116
274.101 Form N-SAR amended	36672	4.34 (b)(1), (4)(i) and (h) amended; (b)(5) added; (e) and (i)(5) revised; (i)(9) removed	51116
274.128 Form N-CSR amended	18822, 36672, 64975, 67011	(i)(9) added	52094
274.201 Removed; eff. 7-15-04	64975	(b)(5)(ii) and (iii) correctly designated as (b)(5)(iii) and (iv); new (b)(5)(ii) correctly added	61742
274.202 Form 3 amended	25800	4.35 (f)(1)(iii) amended	51117
274.203 Form 4 amended	25801	4.37 Introductory text and (b)(1) amended	51117
Form 4 corrected	37044	4.38 Amended; (f)(7) and (h) removed; (a)(2) through (7), (f)(8) and (9) redesignated as (a)(4) through (9), (f)(7) and (8); new (a)(2), (3) and (e)(4) added; new (a)(4), (b) and (g)(2) revised	51117
274.401 Removed	25803	(h) added	52094
275.0-4 (a) revised	42248	(a)(4) and (b) correctly amended	61742
275.04 (a) revised	42248	4.39 (a) and (b) introductory text revised; (e) added	51119
275.203-1 (d) amended	42248	(a) correctly amended	61742
275.203-3 (b)(3) and note amended	42248	4.40 (b) amended	51119
275.203A-6 Removed	42248	4.41 (c)(4)(i), (iii), (e)(4)(iii), (iv), (7), (8), (f)(9)(i) and (h)(2) amended; (e)(4)(v), (9), (10) and (h)(3)(iv) added; (h) introductory text and (4)(ii) revised	51119
275.204-1 Note added; (b) revised; (d) amended	42248	(h) introductory text corrected	61742, 63194
275.206(4)-2 Revised	56700	4.51 (c)(2)(i) and (iii) amended; (e)(4), (g) and (h) revised; (e)(7), (8) and (9) added	51120
Corrected	61555	(e)(7) corrected	61742
279.1 Form ADV amended	42249, 56701	4.60 (b) amended	51120
279.2 Form ADV-W amended	42249	4.61 (c)(1)(vii) amended; (c)(1)(x) and (3) through (9) added; (e) and (f) revised	51120
279.3 Form ADV-H amended	42250	(c)(4) correctly amended	61742
<i>Proposed Rules:</i>		4.70 Amended	51120
1	38655, 40835, 46516	Correctly amended	61742
36	66032	4.81 (b)(5) revised	51120
210	61720	4.90 Amended	51121
239	54644, 58226, 61720		
240	15688, 27722, 36951, 48724, 54590, 60784, 61720, 62872, 62910, 62972		
242	62972		
249	54590, 60784		
270	61720		
274	58226, 60784, 61720		
275	58226		
TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES			
Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)			
2.1 (a)(1)(xi)(K) redesignated as (a)(1)(xi)(L); new (a)(1)(xi)(K) added	51115		
2.1c Added	46455		