

SEPTEMBER 2004

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CHANGES APRIL 1, 2004 THROUGH SEPTEMBER 30, 2004

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

Title 17 Nomenclature change.....18803

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

1.10 (c), (e)(1), (2) and (f)(2) amended	41425
(b)(1), (2)(i), (c), (d)(4), (e) and (f) revised	49795
(c)(3) and (f)(1)(ii)(B) corrected; (j)(8)(ii) correctly revised	55949
1.12 (i)(1) amended	41426
(a)(1), (b)(1), (2), (3), (4), (c), (d), (e), (f), (h) and (i)(1) revised	49797
1.16 (d)(1) amended	41426
(f) revised	49798
1.17 (h)(3)(vi) amended	41426
(a)(1)(i)(B), (b)(4), (e)(1)(i), (ii), (h)(2)(vi)(C)(I), (2), (vii)(A)(I), (2), (vii)(B)(I), (2), (vii)(A)(I), (2), (3)(ii)(A), (B), (v)(A), (B) and (vii) revised; (b)(7) and (8) added	49799
(a)(2)(ii) correctly amended	55949
1.18 (b) revised	49800
1.23 Amended	41426
1.30 Amended	41426
4.13 (a)(3)(iii)(C) and (D) revised; (a)(3)(iii)(E) added	41426
30.4 (a) revised	49803
30.10 Existing text designated as (a); (b) added	49803
31.13 (c) and (e) amended	41426
36.3 (b)(1)(i), (ii) and (c)(2) re- vised; (b)(2) and (3) redesign- ated as (b)(3) and (4); (b)(1)(iii), (iv), new (2), (c)(1) heading and (3) heading added	43294
140.2 Revised	41426
140.99 Second (d)(2) removed	41426
143 Authority citation revised	52997
143.1 Revised	52997
143.2—143.8 (Subpart A) Designa- tion and heading added	52997
143.2 (c) revised	52997
143.7 (a) revised	52997
143.8 (a) revised	52995
143.9—143.10 (Subpart B) Added	52997
145.6 (a) revised	41426

190.07 (b)(3)(v) amended 41427

**Chapter II—Securities and Ex-
change Commission (Parts
200—399)**

200.1—200.16 (Subpart A) Author- ity citation revised	34461
200.19a Introductory text amend- ed	34461
200.30-3 (a)(7)(v) amended; (a)(7)(vi) added	34461
(a)(79), (80) and (81) added	34494
(a)(82) added	41078
(g) redesignated as (j); new (g), (h) and (i) added	41937
(a)(10)(iii) added	54190
200.30-5 (g) through and (k) re- designated as (i) through (m); new (g) and (h) added	41937
200.30-18 (c) redesignated as (c)(1); (c)(2) added	41938
200.735-5 (b)(1)(ii) and (iv) amend- ed; (b)(1)(v) removed; (b)(1)(vi) redesignated as new (b)(1)(v); new (b)(1)(v) and (m)(3) revised	21058
211 Interpretive releases	29066
230.146 (b)(1)(ii), (iii) and (2) re- vised; (b)(1)(iv) added	43298
231 Interpretive releases	29066
232.10 (b) revised	22709
232.101 (a)(1)(ix) added	22709
232.104 (a) revised	22709
232.201 (a) introductory text re- vised	22710
232.202 (a) introductory text re- vised	22710
232.301 Revised	21955, 49805
239 Authority citation revised	33269, 39807
239.12 Form S-2 corrected	48371
239.13 Form S-3 corrected	48371
239.14 Form N-2 amended; eff. in part 1-31-06	39808
Form N-2 amended	52801
239.15A Form N-1A amended	22312, 33269, 49807, 52799
Form N-1A amended; eff. in part 1-31-06	39808
239.17a Form N-3 amended ...	22314, 52802
Form N-3 amended; eff. in part 1-31-06	39809
239.17b Form N-4 amended	22316
239.17c Form N-6 amended	22316
239.63 Revised	22710
240.3b-3 Removed	48029

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TITLE 17 Chapter II—Con.

240.10a-1 (c), (d), (e)(13) and authority citation removed	48029	249.308b Form 10-QSB corrected	48371
240.10a-2 Removed	48029	249.310 Form 10-K corrected	48371
240.13k-1 Added	24024	249.331 Form N-CSR amended	52804
240.14a-101 Amended	39807	249.446 Revised	22710
240.15c3-1 (a)(7) undesignated center heading and (c)(13) undesignated center heading revised; (a)(7) text and (c)(13) text added; (c)(15) amended; authority citation removed	34461	259.602 Revised	22710
240.15c3-1e Revised	34462	269.7 Revised	22710
240.15c3-1g Added	34467	270 Authority citation amended	46389
240.15c3-3A Amended	54190	270.0-1 (a)(7) added	46389
240.17a-4 (b)(12) added	34471	270.10f-3 (c)(3), (9), (12)(i) and (ii) amended; (c)(11) revised	46389
240.17a-5 (a)(5) and (k) through (o) redesignated as (a)(6) and (l) through (p); new (a)(5) and (k) added	34471	270.12b-1 (c) revised	46389
240.17a-11 (b)(2) and (h) revised	34472	(a)(1), (2), (b)(2), (3)(iii), (iv), (B), (4), (e), (f) and (g) amended; (h) added	54733
240.17a-12 (l) revised	34494	270.15a-4 (b)(2)(vii) revised	46389
240.17h-1T (d)(4) redesignated as (d)(5); new (d)(4) added	34472	270.17a-7 (f) revised	46389
240.17h-1T (d)(5) redesignated as (d)(6); new (d)(5) added	34494	270.17a-8 (a)(4) revised	46389
240.17h-2T (b)(4) redesignated as (b)(5); new (b)(4) added	34472	270.17d-1 (d)(7)(v) revised	46389
240.17h-2T (b)(5) redesignated as (b)(6); new (b)(5) added	34494	270.17e-1 (c) revised	46389
240.17i-1 Undesignated center heading and section added	34495	270.17g-1 (j)(3) revised	46390
240.17i-2 Added	34495	270.17j-1 (a)(1)(i), (2)(i), (d)(1)(i) introductory text, (ii) introductory text, (iii) introductory text and (2)(iv) revised; (a)(11) and (d)(2)(vi) added	41707
240.17i-3 Added	34495	270.18f-3 (e) revised	46390
240.17i-4 Added	34495	270.23c-3 (b)(8) revised	46390
240.17i-5 Added	34495	270.30a-2 (a) and (b) amended	52799
240.17i-6 Added	34495	270.31a-2 (a)(4) and (5) amended; (a)(6) added	46390
240.17i-7 Added	34495	274.11A Form N-1A amended	22312, 33269, 49807, 52799
240.17i-8 Added	34495	Form N-1A amended; eff. in part 1-31-06	39808
240.31-1 Removed	41078	274.11a-1 Form N-2 amended; eff. in part 1-31-06	39808
240.31 Added	41078	Form N-2 amended	52801
240.31T Added (temporary)	41080	274.11b Form N-3 amended	22314, 52802
241 Interpretive releases	29066, 48029	Form N-3 amended; eff. in part 1-31-06	39809
242 Heading revised	48029	274.11c Form N-4 amended	22316
242.105 (b) amended	48029	274.11d Form N-6 amended	22316
242.200 Undesignated center heading and section added	48029	274.128 Form N-CSR amended	52804
242.201 Added	48029	274.402 Revised	22711
242.202T Added; eff. 9-7-04 to 8-6-07	48029	275 Authority citation amended	41707
242.203 Added	48029	275.204-2 (a)(12), (13) and (e)(1) revised	41707
249.11 Added	41080	275.204A-1 Added	41708
249.220f Form 20-F amended	24024	279.1 Form ADV amended	41709
249.308 Form 8-K corrected	48371		
249.308a Form 10-Q corrected	48371		

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

403 Authority citation revised.....33259

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403.1 Revised.....	33259	12 Nomenclature change	32438
403.4 (e) through (l) redesignated as (f) through (m); new (e) added	33259	12.3 (b)(10) amended	32438
<i>Proposed Rules:</i>		33.6 Revised	32438
1.....	39880	34.3 (k) revised.....	32438
15.....	26333	35.8 (b) revised	32438
16.....	26333	36.1 (b)(1) revised	32438
17.....	26333	141.400 (b)(2)(iv) and (3)(iv) redesi- gnated as (b)(2)(vii) and (3)(vii); new (b)(2)(iv), (v), (vi), (3)(iv), (v) and (vi) added	32443
18.....	26333	(b)(3)(i) corrected	34568
19.....	26333	154.209 Revised.....	32438
21.....	26333	157.6 (b)(7) revised.....	32439
30.....	1799	157.205 (b)(5) revised.....	32439
37.....	53367	260.300 (b)(2)(iv) and (3)(iv) redesi- gnated as (b)(2)(vii) and (3)(vii); (b)(2)(iv), (v), (vi), (3)(iv), (v) and (vi) added	32443
38.....	39880, 53367	292.207 (b)(4) revised.....	32439
40.....	44981	300.10 (a)(1) revised	32439
41.....	44981	342.3 (d)(2) amended.....	53801
145.....	44981	357.4 (b)(2)(iv) redesignated as (b)(2)(vii); new (b)(2)(iv), (vi) and (viii) added.....	32444
150.....	33874	358.1 (c) amended	23587
200—399 (Ch. II)	46117	358.2 Revised.....	23587
200.....	30142	358.3 (d)(5) redesignated as (d)(6); (a)(3), new (d)(5) and (k) added; (b)(1), new (d)(6)(ii) and (v) revised;.....	23587
210.....	26650, 30750, 53550	(d)(5) and (6)(iv) revised; (d)(6)(v) amended; (d)(6)(vi) added	48386
228.....	26650, 30750, 35982	358.4 (a)(5) and (6) added; (b)(1), (2), (3)(i), (iii), (iv), (v), (c), (e)(3) and (5) revised	23588
229.....	26650, 30750, 35982	(a)(5), (e)(2) and (3) amended; (e)(5) revised.....	48386
230.....	21650, 25182, 26650, 30142, 30750	358.5 (a)(1), (2), (b)(1), (2), (4), (7), (8), (c)(5) and (d) revised	23588
232.....	17864, 23856, 26650, 30750, 34860	365.3 (c) revised.....	32439
239.....	21650, 25182, 26650, 30750	375.101 (b) revised.....	32439
240.....	17864, 21650, 23856, 25182, 25778, 26650, 30142, 30750, 32784, 34860, 35982, 39682, 44988, 53550	375.105 (c) revised.....	32439
242.....	26650, 30142, 30750, 39682, 44988	381.302 (a) amended.....	27834
245.....	26650, 30750	381.303 (a) amended.....	27834
247.....	42302	381.304 (a) amended.....	27834
248.....	56304	381.305 (a) amended.....	27834
249.....	17864, 21650, 23856, 25182, 26650, 30142, 30750, 34860, 53550	381.403 Amended	27834
275.....	25778, 45172, 51620	381.505 (a) amended.....	27834
279.....	25778, 45172, 51620	381.801 Amended	27834
450.....	56968	385.203 (d) added.....	32439
TITLE 18—CONSERVATION OF POWER AND WATER RE- SOURCES		385.206 (b)(10) revised	32440
Title 18 Nomenclature change.....	18803	385.1104 (a)(5) revised	32440
Chapter I—Federal Energy Regu- latory Commission, Department of Energy (Parts 1—399)		385.2001 (a)(1)(iii) and note re- vised.....	32440
1b.21 (f) revised	32438		
4.303 (a)(2) and (e)(2) amended	32438		
11.3 (d) amended	32438		
12 Authority citation revised.....	32438		