

AUGUST 2011

43

CHANGES APRIL 1, 2011 THROUGH AUGUST 31, 2011

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

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

Chapter I Order	20835, 42508
Authority citation revised	41056
1 Authority citation revised	44264
1.3 (zz) added	41056
1.49 (d)(3) revised	44264
4 Authority citation revised	44264
4.12 (b)(3) through (6) redesignated as (d)(1) through (4); (b) heading, (1) introductory text, new (d)(1) introductory text, (iii)(A), (B), (iv) and (2)(ii) revised; (b)(2) amended; (c) added	28644
4.13 (a)(3)(iv) and (4)(ii)(B) amended; (a)(5) redesignated as (a)(6); new (a)(6)(i) introductory text, (b)(1)(ii) and (2) revised; new (a)(5) added	28645
4.24 (h)(1)(i) revised	44264
15 Authority citation revised	43862
15.00 Heading and introductory text revised	43862
20 Added	43862
35 Revised	49299
39 Authority citation revised	44473
39.5 Redesignated as 39.8; new 39.5 added	44473
39.8 Redesignated from 39.5	44473
40 Revised	44790
40.6 (a) corrected	45666
140.94 (a)(5) revised; (a)(6) added	44474
160 Heading and authority citation revised	43878
160.1 (b) revised	43878
160.3 (a) through (v), (w) and (x) redesignated as (t) through (w), (y) and (z); new (s), (x), (y)(6) and (7) added; (a), (n)(1)(i), (ii), (o)(1)(i) and new (y)(4) and (5) revised	43878
160.15 (a)(4) revised	43879
160.17 (b) revised	43879
160.30 Revised	43879
162 Added	43884
165 Added	53200
180 Added	41410

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

200.30–4 (a)(14) revised	35349
(a)(16) added	39770
200.800 (b) amended; eff. 12–31–12	46616
202.3a (e) amended	28890
210 Heading revised	50119
210.1–02 (u) amended	50119
210.4–01 (a)(3)(i) introductory text and (ii) amended	50119
210.4–08 (h)(3) and Instructions amended	50119
210.4–10 (b) amended	50119
210.10–01 (a)(7) and (b)(5) amended	50120
229.10 (c) introductory text and (1)(i) amended; eff. 12–31–12	46617
229.101 Instructions amended	50120
229.201 (d) Instructions amended	50120
229.302 (b) and Instructions amended	50120
229.303 (a)(4)(ii)(A), (C), (D), (5)(ii)(A), (B), (C) and Instructions amended	50120
229.305 Instructions amended	50120
229.402 (a)(6)(iii), (iv), (c)(2)(ix)(C), (d)(2)(viii), (e)(1)(iii), (k)(2)(vii)(C), (m)(5)(iv), (n)(2)(ix)(C), (r)(2)(vii)(C), (m)(5)(iii) and Instructions amended	50121
229.503 Instructions amended	50121
229.601 (b)(11) amended	50121
229.1204 Instructions amended	50121
230 Authority citation revised	46617
230.134 (a) introductory text and (6) revised; (a)(17) removed	46617
230.138 (a)(2)(ii)(B)(2) revised	46617
230.139 (a)(1)(i)(A)(I)((ii) and (B)(2)(ii) revised	46617
230.146 (c)T amended	40229
230.168 (a)(2)(ii)(B) revised	46617
230.175 (b)(2)(ii) amended	50121
230.239T (e) amended	40229
230.240 Added; interim	40611
230.467 Heading, (a) and (b) amended; eff. 12–31–12	46617
230.473 (d) amended; eff. 12–31–12	46617
232.301 Revised	47440

CHANGES APRIL 1, 2011 THROUGH AUGUST 31, 2011

TITLE 17 Chapter II—Con.

232.405 Preliminary Note 1, (a)(2) introductory text, (3), (4) amd section Note amended; eff. 12-31-12	46617	240.21F-2 Added	34363
239 Authority citation revised	46617	240.21F-3 Added	34363
239.13 Undesignated text heading following (b)(1), (b)(2) and (5) revised	46617	240.21F-4 Added	34363
Form S-3 amended	46618	240.21F-5 Added	34363
239.15A Form N-1A amended	50123	240.21F-6 Added	34363
239.17a Form N-3 amended	50123	240.21F-7 Added	34363
239.17b Form N-4 amended	50123	240.21F-8 Added	34363
239.17c Form N-6 amended	50123	240.21F-9 Added	34363
239.25 Form S-4 amended	46619, 50121	240.21F-10 Added	34363
239.33 (b)(2) revised; Form F-3 amended	46619	240.21F-11 Added	34363
239.34 Form F-4 amended	46620	240.21F-12 Added	34363
239.37 (h)(3) amended; eff. 12-31-12	46620	240.21F-13 Added	34363
Form F-8 amended	46620	240.21F-14 Added	34363
239.39 Removed; eff. 12-31-12	46620	240.21F-15 Added	34363
239.40 (c)(4) and Form F-10 amended; eff. 12-31-12	46620	240.21F-16 Added	34363
239.90 Form 1-A amended	50121	240.21F-17 Added	34363
240 Authority citation amended	34363, 34590, 46620	249 Authority citation amended	34371
Order	36287	249.220f Form 20-F amended	50122
Interpretive release	38293	249.240f (a) introductory text and (b)(4) introductory text amended; Note following (a) introductory text redesignated as (a) Note; eff. 12-31-12	46620
Authority citation revised	41685	249.240f Form 40-F amended; eff. 12-31-12	46621
240.0-12 (b) revised	43891	Form 40-F amended	50123
240.3b-6 (b)(2)(ii) amended	50122	249.308 Form 8-K amended	50123
240.12a-10T (b) amended	40229	249.323 Form 15 amended	52556
240.12a-11 Added; interim	40611	249.327 Added	47004
240.12h-1 (h)T amended	40229	249.328T Form 17-H amended	50123
(i) added; interim	40612	249.819 Form 19b-4 amended; interim	41063
240.12h-3 (b)(1) introductory text amended; (b) Note added	52555	249.1800-249.1801 (Subpart S) Added	34371
240.12h-6 (i) Note added	52555	260.4d-11T Amended	40229
240.13h-1 Added	47002	260.4d-12 Added; interim	40612
240.14a-101 Note E(2)(ii) revised	46620	270.3a-8 (b)(9) amended	50123
240.15b12-1T Added (temporary)	41685	274.11A Form N-1A amended	50123
240.15d-22 Revised	52555	274.11b Form N-3 amended	50123
240.17h-1T (a)(1)(vii) amended	50122	274.11c Form N-4 amended	50123
240.19b-4 (a) redesignated as (a)(1); (a)(2) added	20509	274.11d Form N-6 amended	50123
(f)(4) introductory text amended; (f)(4)(i) and (ii) redesignated as (f)(4)(i)(A) and (B); (f)(4) introductory text and new (i)(B) amended; (f)(4)(ii)(A) and (B) added; interim	41062	275 Authority citation revised	39701
240.21F-1 Undesignated center heading and section added	34363	275 Authority citation amended	43011
		275.0-7 (a)(1) amended	43011
		275.202(a)(11)-1 Removed	43011
		275.202(a)(11)(G)-1 Added	37994
		275.202(a)(30)-1 Added	39701
		275.203-1 (e) added	43011
		275.203(b)(3)-1 Removed	43011
		275.203(b)(3)-2 Removed	43011
		275.203(l)-1 Added	39702
		275.203(m)-1 Added	39703
		275.203A-1 Revised	43011
		275.203A-2 (a) removed; (b) through (f) redesignated as	

CHANGES APRIL 1, 2011 THROUGH AUGUST 31, 2011

new (a) through (e); new (d)(2), (3) and (4) redesignated as (d)(2)(i), (ii) and (3); new (d)(2) introductory text added; new (a)(1), (c)(1), (d)(1), (2)(i), (ii) revised; new (a)(2) introductory text, (e)(1)(ii), (iii), (2) and (3) amended	43012
275.203A-3 (a)(4) revised; (d) and (e) added	43012
275.203A-4 Removed	43012
275.203A-5 Added; eff. 7-21-11; (b) and (c) added; eff. 9-19-11	43012
275.204-1 Heading, (b), (a) and (b) Note and (c) revised	43013
275.204-2 (a)(14)(ii) amended; (e)(3)(ii) revised; (1) removed;	43013
275.204-4 Added	43013
275.206(4)-5 (a)(1), (2) introductory text, (i), (d) and (f)(9) revised; (f)(2)(i) amended	43013
275.222-1 Heading and (b) amended	43014
275.222-2 Revised	43014
279.1 Form ADV amended	43014
279.3 Form ADV-H amended	43014
279.4 Form ADV-NR amended	43014
279.8 Form ADV-E amended	43014

Proposed Rules:

1—199 (Ch. I)	23221, 25274, 35372, 38328, 44507
1	27802, 29818, 32880, 33066, 45724, 45730, 47529
5	33066
7	33066
8	33066
15	33066
18	33066
21	33066
22	31518, 33818, 35141
23	23732, 27621, 27802, 45724, 45730, 47529
36	33066
39	45730, 47529
41	33066
46	22833
140	27802, 33066
145	33066
155	33066
166	33066
190	31518, 33818, 35141
200—399 (Ch. II)	23221, 44507, 44508
200	30048
229	18966, 25273, 47948

230	31518, 34920, 47948, 49698
232	33420
239	31518, 47948
240	18966, 25273, 26550, 29818, 32880, 33420, 34920, 37572, 42396
242	26550
246	24090, 34010
248	21170
249	26550, 33420, 37572, 47948
249b	33420
260	34920
275	27959
400—499 (Ch. IV)	39315

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES**Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)**

35.28 (c)(1) through (iii), (vi), (3), (i), (ii), (4), (i), (ii), (d)(1) and (e)(1) revised	49963
40 Order	23171, 23470, 23690, 42534
260 Order	52253
292.205 (d)(1) through (5) correctly added	50663
358 Order	20838

Chapter XIII—Tennessee Valley Authority (Parts 1300—1399)

1301.61—1301.69 (Subpart E) Added	39261
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Proposed Rules:

1—399 (Ch. I)	18954, 30869, 36400
35	24188
40	23222
284	20571
357	46668
366	23516
806	41154

TITLE 19—CUSTOMS DUTIES**Chapter I—U.S. Customs and Border Protection, Department of Homeland Security; Department of the Treasury (Parts 1—199)**

4.7 Heading, (b)(3)(i) and (4) introductory text revised; (a),	
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