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CHANGES APRIL 1, 2011 THROUGH JANUARY 31, 2012

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

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

Chapter I Order.....**20835, 42508, 80233**
1 Authority citation revised.....**41056, 44264, 69429, 71683, 78798**
Policy statement.....**77670**
Authority citation revised.....2625
1.3 (zz) added.....**41056**
(c) and (d) revised; (k) removed; (aaa) through (fff) removed.....**69429**
(z) revised.....**71683**
(aa)(6) added.....2625
1.12 (f)(1) removed.....**69430**
1.25 Revised.....**78798**
1.47 Removed.....**71684**
1.48 Removed.....**71684**
1.49 (d)(3) revised.....**44264**
3 Authority citation revised.....2626
3.1 (f) and (g) added.....2626
(f) corrected.....3590
3.2 Heading revised; (c)(3) added.....2626
3.4 (a) revised.....2626
3.10 Heading, (a)(1)(i), (b)(1) and (d) revised; (a)(1)(iii), (iv) and (v) added.....2626
3.21 (c) introductory text, (1)(iv), (2)(i) and (4)(i) revised; (c)(1)(v) added.....2627
3.30 (a) revised.....2627
3.31 (a)(1), (b) and (c)(2) revised.....2628
3.33 (a) introductory text, (b) introductory text, (6)(vi), (vii) and (e) revised; (b)(6)(viii) and (ix) added.....2628
4 Authority citation revised.....**44264, 71174**
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**
4.27 Added.....**71174**
5 Authority citation revised.....**56106**
5.1 (d)(1)(i), (e)(1), (f)(1), (g) introductory text, (h)(1) and (j) amended.....**56106**
5.3 (a)(4)(i)(A) amended.....**56106**
5.10 (a)(1) introductory text and (c)(2) amended.....**56106**
5.11 (a)(1) introductory text, (2) introductory text and (d)(2) amended.....**56107**
5.18 (a)(1)(ii) amended.....**56107**
12.26 (c) revised.....**63188**
15 Authority citation revised.....**43862**
15.00 Heading and introductory text revised.....**43862**
20 Added.....**43862**
21 Authority citation revised.....**69430**
21.04 Redesignated as 21.05; new 21.04 added.....**69430**
21.05 Redesignated from 21.04.....**69430**
21.06 Added.....**69430**
23 Added.....2628
23.1—23.20 (Subpart A) Heading corrected.....3590
30.7 (c) revised; (g) added.....**78802**
30.13 Added.....**59245**
30 Appendix D revised.....**59247**
35 Revised.....**49299**
39 Authority citation revised.....**44473**
Revised.....**69430**
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**
43 Added.....1243
Technical correction.....2909
45 Added.....2197
48 Added.....**80698**
49 Added.....**54575**
140.94 (a)(5) revised; (a)(6) added.....**44474**
(a)(6) redesignated as (a)(7); heading, (a)(5) and new (7) revised; new (a)(6) and (8) through (14) added.....**69472**
150.2 Revised.....**71684**
151 Added.....**71685**
151.4 Interim in part.....**71626**
160 Heading and authority citation revised.....**43878**
160.1 (b) revised.....**43878**
160.3 (a) through (v), (w) and (x) redesignated as (t) through

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(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**
170.16 Added 2629
180 Added **41410**

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

200 Authority citation amended **57637**
200.1 Introductory text and (b) amended; (h) and authority citation removed; (i) and (j) redesignated as new (h) and (i) **71874**
200.2 (c) removed; (d) through (g) redesignated as new (c) through (f) **71874**
200.13 Heading, (a), (b), (c) and (d) amended **60371**
200.17 Introductory text amended **60371**
200.20b Introductory text amended; (f) removed **71874**
200.20c Removed **60372**
200.21 (a) amended **60371, 60372, 71449**
200.21a (a) and (b) amended **71449**
200.24 Amended **60372**
200.25 Removed **60372**
200.30–3 (a)(80) amended **60371**
(a)(17)(ii) revised **67599**
200.30–4 (a)(14) revised **35349**
(a)(16) added **39770**
200.30–5 (f) removed; (g) through (m) redesignated as new (f) through (l); new (k) and (l) amended **71874**
200.30–6 Authority citation removed **71874**
200.30–7 (a) introductory text and (6) amended **71874**
200.30–13 Amended **60372**
200.30–14 (g)(1) introductory text amended **71874**
200.30–15 Heading and text amended **60371**
200.43 (b)(2) amended **71874**
200.50—200.72 (Subpart C) Authority citation revised **71874**
200.80 (a)(4) amended **71874**
200.80a Table removed **71874**
200.80c (b)(2) amended **71874**
200.80f Table amended **71874**
200.82a Regulation at 75 FR 56780 eff. date confirmed **58100**
200.110—200.114 (Subpart F) Authority citation revised **71874**
200.304 Authority citation removed **71874**
200.307 Authority citation removed **71874**
200.308 Authority citation removed **71874**
200.312 (a)(5) and (6) amended; (a)(7), (8) and (9) added; (b) revised; authority citation removed **57637**
200.500—200.511 (Subpart J) Authority citation revised **60372**
200.503 Introductory text and (a) amended **60371**
Authority citation removed **60372**
200.504 Introductory text amended **60371**
200.505 (c) amended **60371**
200.508 (a) amended **60371**
200.510 (a) amended **60371**
200.511 (a) amended **60371**
200.551 Revised **71874**
200.735–11 (c), (d) and (e) amended **71450**
200.735–15 (a) through (f) amended **71450**
200.735–17 Amended **71450**
200.800 (b) amended; eff. 12–31–12 ..... **46616**
200.80 (b) table amended **71874**
201 Authority citation revised **60372**
201.59 Amended **60372**
201.100—201.900 (Subpart D) Authority citation revised **71875**
201.190 (a) amended **71875**
201.210 (b) revised **71875**
202 Authority citation amended **71875**
202.1 (b) amended **71875**
202.2 Amended **71875**
202.3 (a) and (b)(1) amended **71875**
202.3a (e) amended **28890**
202.6 Authority citation removed **71875**
202.9 Amended **71875**
204.32 Amended **60372**
204.34 (d) amended **60372**
210 Heading revised **50119**

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210.1–01 (a)(2) amended; (a)(3) removed; (a)(4) redesignated as new (a)(3) **71875**
210.1–02 (u) amended **50119**
210.3–18 Authority citation removed **71875**
210.3A–05 Removed **71875**
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**
229.104 Added **81782**
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**
229.405 Introductory text revised; (a)(1) amended **71875**
229.503 Instructions amended **50121**
229.601 (b)(11) amended **50121**
(a) table amended; (b)(95) added **81783**
229.1204 Instructions amended **50121**
230 Authority citation revised **46617, 81805**
Authority citation amended **71876**
230.122 Authority citation removed **71876**
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)(*1*)(*(ii) and (B)(2*)(*ii*) revised **46617**
230.144 (a)(3)(viii) amended **81805**
230.146 (c)T amended **40229**
(b)(1) and (2) revised 3597
230.155 (a) amended **81805**
230.168 (a)(2)(ii)(B) revised **46617**
230.175 (b)(2)(ii) amended **50121**
230.176 Authority citation removed **71876**
230.215 (e) revised **81805**
230.239T (e) amended **40229**
230.240 Added; interim **40611**
230.400—230.498 (Regulation C) Authority citation amended **71876**
230.400 Authority citation removed **71876**
230.404 Authority citation removed **71876**
230.412 (b) amended **71876**
230.414 Authority citation removed **71876**
230.421 Authority citation removed **71876**
230.423 Authority citation removed **71876**
230.427 Authority citation removed **71876**
230.430 Authority citation removed **71876**
230.431 Authority citation removed **71876**
230.436 Authority citation removed **71876**
230.460 Authority citation removed **71876**
230.467 Heading, (a) and (b) amended; eff. 12–31–12 ..... **46617**
230.470 Authority citation removed **71876**
230.471 Authority citation removed **71876**
230.473 (d) amended; eff. 12–31–12 ..... **46617**
230.479 Authority citation removed **71876**
230.480—230.485 Authority citation removed **71876**
230.501 Authority citation and preliminary notes after undesignated center heading removed; (a)(5) revised; (e)(1)(i) amended **81806**
232.11 Amended **71876**
232.13 Regulation at 75 FR 56780 eff. date confirmed **58100**
232.101 (c)(12), (13) and (14) removed **71876**
232.102 (a) amended; (f) removed **71876**
232.104 (d) amended **71876**
232.201 (a) note 1 amended **71876**
232.202 Note 1 amended **71876**

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232.301 Revised **47440, 73508**
232.306 (b) and (c) amended **71876**
232.311 (c), (d) and (e) removed; (f) through (i) redesignated as new (c) through (f); new (e)(1) and (2) amended **71876**
232.405 Preliminary Note 1, (a)(2) introductory text, (3), (4) amd section Note amended; eff. 12–31–12 ..... **46617**
232.501 (c)(2) and (3) amended **71876**
239 Authority citation revised **46617, 81806**
Authority citation amended **71876**
239.13 Undesignated text heading following (b)(1), (b)(2) and (5) revised **46617**
Form S–3 amended **46618, 81783**
239.15A Form N–1A amended **50123**
239.17a Form N–3 amended **50123**
239.17b Form N–4 amended **50123**
239.17c Form N–6 amended **50123**
239.25 Form S–4 amended **46619, 50121**
239.33 (b)(2) revised; Form F–3 amended **46619**
239.34 Form F–4 amended **46620**
239.37 (h)(3) amended; eff. 12–31–12 ..... **46620**
Form F–8 amended **46620**
239.39 Removed; eff. 12–31–12 ..... **46620**
239.40 (c)(4) and Form F–10 amended; eff. 12–31–12 ..... **46620**
239.63 Form ID revised **55791**
239.64 Form SE amended **71877**
239.90 Form 1–A amended **50121**
239.500 Heading and (a)(1) and Form D amended **81806**
240 Authority citation amended **34363, 34590, 46620, 71876**
Policy statement **36287, 38293**
Authority citation revised **41685**
240.0–4 Authority citation removed **71876**
240.0–12 (b) revised **43891**
240.3b–6 (b)(2)(ii) amended **50122**
240.11d1–1 (d) amended; authority citation removed **71876**
240.12a–10T (b) amended **40229**
240.12a–11 Added; interim **40611**
240.12h–1 (h)T amended **40229**
(i) added; interim **40612**
240.12h–3 (b)(1) introductory text amended; (b) Note added **52555**
240.12h–6 (i) Note added **52555**
240.13a–11 Regulation at 75 FR 56780 eff. date confirmed **58100**
240.13d–1 Regulation at 75 FR 56780 eff. date confirmed **58100**
240.13d–102 Regulation at 75 FR 56780 eff. date confirmed **58100**
240.13f–1 (c) amended **71876**
240.13h–1 Added **47002**
240.14a–2 Regulation at 75 FR 56780 eff. date confirmed **58100**
240.14a–4 Regulation at 75 FR 56781 eff. date confirmed **58100**
240.14a–5 Regulation at 75 FR 56782 eff. date confirmed **58100**
240.14a–6 Regulation at 75 FR 56782 eff. date confirmed **58100**
240.14a–8 Regulation at 75 FR 56782 eff. date confirmed **58100**
240.14a–9 Regulation at 75 FR 56782 eff. date confirmed **58100**
240.14a–12 Regulation at 75 FR 56787 eff. date confirmed **58100**
240.14a–18 Regulation at 75 FR 56787 eff. date confirmed **58100**
240.14a–101 Note E(2)(ii) revised **46620**
Regulation at 75 FR 56788 eff. date confirmed **58100**
240.14d–4 Authority citation removed **71876**
240.14d–7 Authority citation removed **71876**
240.14n–1 Regulation at 75 FR 56788 eff. date confirmed **58100**
240.14n–2 Regulation at 75 FR 56788 eff. date confirmed **58100**
240.14n–3 Regulation at 75 FR 56788 eff. date confirmed **58100**
240.14n–101 Regulation at 75 FR 56788 eff. date confirmed **58100**
240.15b12–1T Added (temporary) **41685**
240.15d–11 Regulation at 75 FR 56792 eff. date confirmed **58100**
240.15d–22 Revised **52555**
240.15Ba2-6T Amended; interim **80735**
240.15Ga–1 Correctly amended **54375**
240.16a–1 (a)(5)(i) removed; (a)(5)(ii) and (iii) redesignated as new (a)(5)(i) and (ii) **71876**
240.16a–2 Introductory text amended **71877**
240.16a–3 (d) amended **71877**
240.16b–1 (a) designation and (b) removed **71877**
240.17h–1T (a)(1)(vii) amended **50122**

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240.19b–4 (a) redesignated as (a)(1); (a)(2) added **20509**
(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**
240.21F–1 Undesignated center heading and section added **34363**
240.21F–2 Added **34363**
240.21F–3 Added **34363**
240.21F–4 Added **34363**
240.21F–5 Added **34363**
240.21F–6 Added **34363**
240.21F–7 Added **34363**
240.21F–8 Added **34363**
240.21F–9 Added **34363**
240.21F–10 Added **34363**
240.21F–11 Added **34363**
240.21F–12 Added **34363**
240.21F–13 Added **34363**
240.21F–14 Added **34363**
240.21F–15 Added **34363**
240.21F–16 Added **34363**
240.21F–17 Added **34363**
243.100 (b)(1)(ii) amended **71877**
249 Authority citation amended **34371**
249.103 Form 3 amended **71877**
249.104 Form 4 amended **71877**
249.105 Form 5 amended **71877**
249.220f Form 20–F amended **50122, 81783**
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**
Form 40–F amended; eff. 12–31–12 ..... **46621**
Form 40–F amended **50123, 81784**
249.308 Form 8–K amended ... **50123, 81785**
Regulation at 75 FR 56792 eff. date confirmed **58100**
249.308a Form 10–Q amended **81785**
249.310 Form 10–K amended **81785**
249.323 Form 15 amended **52556**
249.327 Added **47004**
249.328T Form 17–H amended **50123**
249.444 Form SE amended **71877**
249.446 Form ID revised **55791**
249.819 Form 19b–4 amended; interim **41063**
249.1800—249.1801 (Subpart S) Added **34371**
250 Removed **71877**
251 Removed **71877**
256 Removed **71877**
257 Removed **71877**
259 Removed **71877**
260.0–4 Authority citation removed **71877**
260.0–6 Authority citation removed **71877**
260.4d–11T Amended **40229**
260.4d–12 Added; interim **40612**
260.7a–29 Authority citation removed **71877**
260.19a–1 Amended **71877**
269.7 Form ID revised **55791**
269.8 Form SE amended **71877**
270.0–4 Authority citation removed **71877**
270.3a–8 (b)(9) amended **50123**
270.8b–32 Authority citation removed **71877**
270.17j–1 (a)(8) amended **81806**
271 Policy statement **55237**
274.11A Form N–1A amended **50123**
274.11b Form N–3 amended **50123**
274.11c Form N–4 amended **50123**
274.11d Form N–6 amended **50123**
274.202 Form 3 amended **71877**
274.203 Form 4 amended **71877**
274.402 Form ID revised **55791**
274.403 Form SE amended **71877**
275 Authority citation revised **39701**
Authority citation amended **43011**
275.0–4 Authority citation removed **71877**
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 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,

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(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; (l) removed; **43013**
275.204–4 Added **43013**
275.204a–1 (e)(7) amended **81806**
275.204(b)–1 Added **71174**
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**
279.9 Added **71175**

Proposed Rules:

1—199 (Ch. I) ... **23221, 25274, 35372, 38328, 44507, 65999**
1 ..... **27802, 29818, 32880, 33066, 45724, 45730, 47529**
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23 ..... **23732, 27621, 27802, 45724, 45730, 47529, 58176**
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403 ..... **59592**
405 ..... **59592**
420 ..... **59592**

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

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

35.2 (g) added **67285**
35.28 (c)(1) through (iii), (vi), (3), (i), (ii), (4), (i), (ii), (d)(1) and (e)(1) revised **49963**
(g)(7) added **67285**
40 Order **23171, 23470, 23690, 42534, 58101, 58716**
260 Order **52253**
284.13 (e) removed; (f) redesignated as new (e) 4224
284.15 Added **72306**
284.126 (c) removed 4224
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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