

MARCH 2012

17

CHANGES APRIL 1, 2011 THROUGH MARCH 30, 2012

**TITLE 17—COMMODITY AND  
SECURITIES EXCHANGES**

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

|                                                                                                                                |                                          |
|--------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|
| Chapter I Order.....                                                                                                           | <b>20835, 42508, 80233</b>               |
| 1 Authority citation revised.....                                                                                              | <b>41056, 44264, 69429, 71683, 78798</b> |
| Policy statement.....                                                                                                          | <b>77670</b>                             |
| Authority citation revised.....                                                                                                | 2625                                     |
| 1.3 (zz) added.....                                                                                                            | <b>41056</b>                             |
| (c) and (d) revised; (k) re-<br>moved; (aaa) through (fff) re-<br>moved.....                                                   | <b>69429</b>                             |
| (z) revised.....                                                                                                               | <b>71683</b>                             |
| (aa)(6) added.....                                                                                                             | 2625                                     |
| 1.12 (f)(1) removed.....                                                                                                       | <b>69430</b>                             |
| 1.25 Revised.....                                                                                                              | <b>78798</b>                             |
| 1.47 Removed.....                                                                                                              | <b>71684</b>                             |
| 1.48 Removed.....                                                                                                              | <b>71684</b>                             |
| 1.49 (d)(3) revised.....                                                                                                       | <b>44264</b>                             |
| 3 Authority citation revised.....                                                                                              | 2626                                     |
| 3.1 (f) and (g) added.....                                                                                                     | 2626                                     |
| (f) corrected.....                                                                                                             | 3590                                     |
| 3.2 Heading revised; (c)(3) added<br>.....                                                                                     | 2626                                     |
| 3.4 (a) revised.....                                                                                                           | 2626                                     |
| 3.10 Heading, (a)(1)(i), (b)(1) and<br>(d) revised; (a)(1)(iii), (iv)<br>and (v) added.....                                    | 2626                                     |
| 3.21 (c) introductory text, (1)(iv),<br>(2)(i) and (4)(i) revised;<br>(c)(1)(v) added.....                                     | 2627                                     |
| 3.30 (a) revised.....                                                                                                          | 2627                                     |
| 3.31 (a)(1), (b) and (c)(2) revised<br>.....                                                                                   | 2628                                     |
| 3.33 (a) introductory text, (b) in-<br>troductory text, (6)(vi), (vii)<br>and (e) revised; (b)(6)(viii)<br>and (ix) added..... | 2628                                     |
| 4 Authority citation revised.....                                                                                              | <b>44264, 71174</b>                      |
| Authority citation revised.....                                                                                                | 9822                                     |
| Authority citation amended.....                                                                                                | 17332                                    |
| 4.5 (c)(2)(iii) and (5) added; eff. 4-<br>24-12.....                                                                           | 11283                                    |
| (c)(2)(iii) and (5) correctly<br>added.....                                                                                    | 17328                                    |
| 4.6 (a)(3) added; eff. 4-17-12.....                                                                                            | 9822                                     |
| 4.7 (a)(3)(ix), (x) and (b)(3) re-<br>vised; eff. 4-24-12.....                                                                 | 11284                                    |
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|                                                                                                                                                                                                                             |              |
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| 4.12 (b)(3) through (6) redesign-<br>ated as (d)(1) through (4);<br>(b) heading, (1) introductory<br>text, new (d)(1) introductory<br>text, (iii)(A), (B), (iv) and<br>(2)(ii) revised; (b)(2) amend-<br>ed; (c) added..... | <b>28644</b> |
| 4.13 (a)(3)(iv) and (4)(ii)(B)<br>amended; (a)(5) redesignated<br>as (a)(6); new (a)(6)(i) intro-<br>ductory text, (b)(1)(ii) and (2)<br>revised; new (a)(5) added.....                                                     | <b>28645</b> |
| (a)(3)(ii)(B)(I), (2), (b)(1)(ii) and<br>(e)(2) introductory text re-<br>vised; (a)(4) removed; (b)(4)<br>redesignated as (b)(5); new<br>(b)(4) added; eff. 4-24-12.....                                                    | 11284        |
| (a)(3)(ii)(B)(I), (2), (b)(1)(ii) and<br>(e)(2) correctly revised; (a)(4)<br>correctly removed; (b)(4) cor-<br>rectly redesignated as (b)(5);<br>new (b)(4) correctly added.....                                            | 17329        |
| 4.14 (a)(8)(i)(D) revised;<br>(a)(8)(iii)(D) redesignated as<br>(a)(8)(iii)(E); new<br>(a)(8)(iii)(D) added; eff. 4-24-<br>12.....                                                                                          | 11284        |
| (a)(8)(i)(D) correctly revised;<br>(a)(8)(iii)(D) correctly redesi-<br>gnated as (a)(8)(iii)(E); new<br>(a)(8)(iii)(D) correctly added<br>.....                                                                             | 17330        |
| Heading revised; (i)(3) redesi-<br>gnated as (i)(4); new (i)(3)<br>added; (j)(1) amended; eff. 4-<br>25-12.....                                                                                                             | 17332        |
| 4.24 (h)(1)(i) revised.....                                                                                                                                                                                                 | <b>44264</b> |
| (b)(5) added; eff. 4-24-12.....                                                                                                                                                                                             | 11285        |
| (b)(5) correctly added.....                                                                                                                                                                                                 | 17330        |
| 4.27 Added.....                                                                                                                                                                                                             | <b>71174</b> |
| Revised; eff. 7-2-12.....                                                                                                                                                                                                   | 11285        |
| Correctly revised; eff. 7-2-12.....                                                                                                                                                                                         | 17330        |
| 4.34 (b)(4) added; eff. 4-24-12.....                                                                                                                                                                                        | 11285        |
| (b)(4) correctly added.....                                                                                                                                                                                                 | 17330        |
| 4 Appendix A revised; eff. 4-24-12<br>.....                                                                                                                                                                                 | 11286        |
| Appendix C added; eff. 4-24-12<br>.....                                                                                                                                                                                     | 11337        |
| 5 Authority citation revised.....                                                                                                                                                                                           | <b>56106</b> |
| 5.1 (d)(1)(i), (e)(1), (f)(1), (g) intro-<br>ductory text, (h)(1) and (j)<br>amended.....                                                                                                                                   | <b>56106</b> |
| 5.3 (a)(4)(i)(A) amended.....                                                                                                                                                                                               | <b>56106</b> |
| 5.10 (a)(1) introductory text and<br>(c)(2) amended.....                                                                                                                                                                    | <b>56106</b> |

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| 5.11 (a)(1) introductory text, (2) introductory text and (d)(2) amended .....                                                                                          | 56107 | 151.4 Interim in part.....                                                                                                                                                                    | 71626 |
| 5.18 (a)(1)(ii) amended .....                                                                                                                                          | 56107 | 160 Heading and authority citation revised .....                                                                                                                                              | 43878 |
| 12.26 (c) revised .....                                                                                                                                                | 63188 | 160.1 (b) revised.....                                                                                                                                                                        | 43878 |
| 15 Authority citation revised.....                                                                                                                                     | 43862 | 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 |
| 15.00 Heading and introductory text revised .....                                                                                                                      | 43862 | 160.15 (a)(4) revised .....                                                                                                                                                                   | 43879 |
| 20 Added.....                                                                                                                                                          | 43862 | 160.17 (b) revised.....                                                                                                                                                                       | 43879 |
| 21 Authority citation revised.....                                                                                                                                     | 69430 | 160.30 Revised .....                                                                                                                                                                          | 43879 |
| 21.04 Redesignated as 21.05; new 21.04 added .....                                                                                                                     | 69430 | 162 Added.....                                                                                                                                                                                | 43884 |
| 21.05 Redesignated from 21.04 .....                                                                                                                                    | 69430 | 165 Added.....                                                                                                                                                                                | 53200 |
| 21.06 Added.....                                                                                                                                                       | 69430 | 170.16 Added .....                                                                                                                                                                            | 2629  |
| 22 Added; eff. 4-9-12 .....                                                                                                                                            | 6371  | 180 Added.....                                                                                                                                                                                | 41410 |
| 23 Added.....                                                                                                                                                          | 2628  | 190.01 (w), (y) and (kk)(6) amended; (e) through (oo) redesignated as (f) through (pp); new (e) added; (a) and new (f), (cc), (hh), (ll)(2)(ii), (4), (5) and (pp) revised; eff. 4-9-12 ..... | 6378  |
| Authority citation revised .....                                                                                                                                       | 9822  | 190.02 (d)(1), (3), (6) and (7) amended; eff. 4-9-12 .....                                                                                                                                    | 6378  |
| 23.1—23.20 (Subpart A) Heading corrected.....                                                                                                                          | 3590  | (a), (b)(1), (2), (d)(11), (e), (f)(1)(i), (ii) and (g)(2)(i) revised; eff. 4-9-12 .....                                                                                                      | 6379  |
| 23.400—23.451 (Subpart H) Added; eff. 4-17-12.....                                                                                                                     | 9822  | 190.03 (a)(2) amended; eff. 4-9-12 .....                                                                                                                                                      | 6378  |
| 24 Authority citation revised.....                                                                                                                                     | 17332 | (a)(3), (b)(3), (4), (5) and (c) revised; eff. 4-9-12 .....                                                                                                                                   | 6380  |
| 24.3a Heading revised; (a), (b)(1) heading, (2)(i) introductory text, (A), (B) introductory text, (I), (2), (3), (4), (C), (ii) and (c)(1) amended; eff. 4-25-12 ..... | 17332 | 190.04 (d)(1) revised; eff. 4-9-12 .....                                                                                                                                                      | 6380  |
| 30.7 (c) revised; (g) added .....                                                                                                                                      | 78802 | 190.05 (a)(1) and (b)(1) amended; eff. 4-9-12 .....                                                                                                                                           | 6378  |
| 30.13 Added.....                                                                                                                                                       | 59245 | (b) introductory text revised; eff. 4-9-12 .....                                                                                                                                              | 6381  |
| 30 Appendix D revised.....                                                                                                                                             | 59247 | 190.06 (g)(g)(1)(i), (ii), (3) amended; eff. 4-9-12.....                                                                                                                                      | 6378  |
| 35 Revised.....                                                                                                                                                        | 49299 | (a), (e)(1)(iii), (2), (f)(3)(i) and (g)(2) revised; (e)(1)(iv) removed; (e)(1)(v) redesignated as new (e)(1)(iv); (g)(1)(iii) added; eff. 4-9-12 .....                                       | 6381  |
| 39 Authority citation revised.....                                                                                                                                     | 44473 | 190.07 (e)(1) and (2)(ii)(B) amended; eff. 4-9-12.....                                                                                                                                        | 6378  |
| Revised.....                                                                                                                                                           | 69430 | (b)(2)(viii), (ix), (3)(v), (c)(1)(i), (e) introductory text, (1) and (4) revised; (b)(2)(xiii) redesignated as (b)(2)(xiv); new (b)(2)(xiii) added; eff. 4-9-12 .....                        | 6381  |
| 39.5 Redesignated as 39.8; new 39.5 added .....                                                                                                                        | 44473 | 190.09 (b) revised; eff. 4-9-12 .....                                                                                                                                                         | 6382  |
| 39.8 Redesignated from 39.5 .....                                                                                                                                      | 44473 | 190.10 (d)(1) and (h) amended; eff. 4-9-12 .....                                                                                                                                              | 6378  |
| 40 Revised.....                                                                                                                                                        | 44790 | (a) revised; eff. 4-9-12.....                                                                                                                                                                 | 6382  |
| 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 |                                                                                                                                                                                               |       |
| 145.5 (d)(1)(viii) and (h) revised; eff. 4-24-12 .....                                                                                                                 | 11342 |                                                                                                                                                                                               |       |
| 147.3 (b)(4)(i)(H) and (b)(8) revised; eff. 4-24-12 .....                                                                                                              | 11342 |                                                                                                                                                                                               |       |
| 150.2 Revised.....                                                                                                                                                     | 71684 |                                                                                                                                                                                               |       |
| 151 Added.....                                                                                                                                                         | 71685 |                                                                                                                                                                                               |       |

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|                                                                                                                                            |                            |                                                                                                                   |              |
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| 190 Appendix A revised; eff. 4-9-12 .....                                                                                                  | 6382                       | 200.82a Regulation at 75 FR 56780<br>eff. date confirmed .....                                                    | <b>58100</b> |
| Appendix B revised; eff. 4-9-12 .....                                                                                                      | 6386                       | 200.110—200.114 (Subpart F) Au-<br>thority citation revised .....                                                 | <b>71874</b> |
| <b>Chapter II—Securities and Ex-<br/>change Commission (Parts<br/>200—399)</b>                                                             |                            | 200.304 Authority citation re-<br>moved .....                                                                     | <b>71874</b> |
| 200 Authority citation amended .....                                                                                                       | <b>57637</b>               | 200.307 Authority citation re-<br>moved .....                                                                     | <b>71874</b> |
| Authority citation amended .....                                                                                                           | 8095                       | 200.308 Authority citation re-<br>moved .....                                                                     | <b>71874</b> |
| 200.1 Introductory text and (b)<br>amended; (h) and authority<br>citation removed; (i) and (j)<br>redesignated as new (h) and<br>(i) ..... | <b>71874</b>               | 200.312 (a)(5) and (6) amended;<br>(a)(7), (8) and (9) added; (b)<br>revised; authority citation<br>removed ..... | <b>57637</b> |
| 200.2 (c) removed; (d) through (g)<br>redesignated as new (c)<br>through (f) .....                                                         | <b>71874</b>               | 200.500—200.511 (Subpart J) Au-<br>thority citation revised .....                                                 | <b>60372</b> |
| 200.13 Heading, (a), (b), (c) and<br>(d) amended .....                                                                                     | <b>60371</b>               | 200.503 Introductory text and (a)<br>amended .....                                                                | <b>60371</b> |
| 200.16a (b) and (c) amended .....                                                                                                          | 8095                       | Authority citation removed .....                                                                                  | <b>60372</b> |
| 200.17 Introductory text amend-<br>ed .....                                                                                                | <b>60371</b>               | 200.504 Introductory text amend-<br>ed .....                                                                      | <b>60371</b> |
| 200.20b Introductory text amend-<br>ed; (f) removed .....                                                                                  | <b>71874</b>               | 200.505 (c) amended .....                                                                                         | <b>60371</b> |
| 200.20c Removed .....                                                                                                                      | <b>60372</b>               | 200.508 (a) amended .....                                                                                         | <b>60371</b> |
| 200.21 (a) amended .....                                                                                                                   | <b>60371, 60372, 71449</b> | 200.510 (a) amended .....                                                                                         | <b>60371</b> |
| 200.21a (a) and (b) amended .....                                                                                                          | <b>71449</b>               | 200.511 (a) amended .....                                                                                         | <b>60371</b> |
| 200.24 Amended .....                                                                                                                       | <b>60372</b>               | 200.551 Revised .....                                                                                             | <b>71874</b> |
| 200.25 Removed .....                                                                                                                       | <b>60372</b>               | 200.735–8 (b)(1) introductory text<br>amended; (b)(2) redesignated<br>as (b)(3); new (b)(2) added .....           | 13491        |
| 200.30–1 (c) amended .....                                                                                                                 | 18684                      | 200.735–11 (c), (d) and (e) amended .....                                                                         | <b>71450</b> |
| 200.30–3 (a)(80) amended .....                                                                                                             | <b>60371</b>               | 200.735–15 (a) through (f) amend-<br>ed .....                                                                     | <b>71450</b> |
| (a)(17)(ii) revised .....                                                                                                                  | <b>67599</b>               | 200.735–17 Amended .....                                                                                          | <b>71450</b> |
| 200.30–4 (a)(14) revised .....                                                                                                             | <b>35349</b>               | 200.800 (b) amended; eff. 12–31–12 .....                                                                          | <b>46616</b> |
| (a)(16) added .....                                                                                                                        | <b>39770</b>               | (b) amended .....                                                                                                 | 18684        |
| 200.30–5 (f) removed; (g) through<br>(m) redesignated as new (f)<br>through (l); new (k) and (l)<br>amended .....                          | <b>71874</b>               | 200.80 (b) table amended .....                                                                                    | <b>71874</b> |
| 200.30–6 Authority citation re-<br>moved .....                                                                                             | <b>71874</b>               | 201 Authority citation revised .....                                                                              | <b>60372</b> |
| 200.30–7 (a) introductory text and<br>(6) amended .....                                                                                    | <b>71874</b>               | 201.59 Amended .....                                                                                              | <b>60372</b> |
| 200.30–13 Amended .....                                                                                                                    | <b>60372</b>               | 201.100—201.900 (Subpart D) Au-<br>thority citation revised .....                                                 | <b>71875</b> |
| 200.30–14 (g)(1) introductory text<br>amended .....                                                                                        | <b>71874</b>               | 201.190 (a) amended .....                                                                                         | <b>71875</b> |
| 200.30–15 Heading and text<br>amended .....                                                                                                | <b>60371</b>               | 201.210 (b) revised .....                                                                                         | <b>71875</b> |
| 200.43 (b)(2) amended .....                                                                                                                | <b>71874</b>               | 202 Authority citation amended .....                                                                              | <b>71875</b> |
| 200.50—200.72 (Subpart C) Au-<br>thority citation revised .....                                                                            | <b>71874</b>               | 202.1 (b) amended .....                                                                                           | <b>71875</b> |
| 200.80 (a)(4) amended .....                                                                                                                | <b>71874</b>               | 202.2 Amended .....                                                                                               | <b>71875</b> |
| 200.80a Table removed .....                                                                                                                | <b>71874</b>               | 202.3 (a) and (b)(1) amended .....                                                                                | <b>71875</b> |
| 200.80c (b)(2) amended .....                                                                                                               | <b>71874</b>               | 202.3a (e) amended .....                                                                                          | <b>28890</b> |
| 200.80f Table amended .....                                                                                                                | <b>71874</b>               | 202.6 Authority citation removed .....                                                                            | <b>71875</b> |
|                                                                                                                                            |                            | 202.9 Amended .....                                                                                               | <b>71875</b> |
|                                                                                                                                            |                            | 204.32 Amended .....                                                                                              | <b>60372</b> |
|                                                                                                                                            |                            | 204.34 (d) amended .....                                                                                          | <b>60372</b> |
|                                                                                                                                            |                            | 210 Heading revised .....                                                                                         | <b>50119</b> |

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## TITLE 17 Chapter II—Con.

|                                                                                                                                                                           |                     |                                                                                                                                    |              |
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| 210.1–01 (a)(2) amended; (a)(3) removed; (a)(4) redesignated as new (a)(3).....                                                                                           | <b>71875</b>        | 230.176 Authority citation removed.....                                                                                            | <b>71876</b> |
| 210.1–02 (u) amended.....                                                                                                                                                 | <b>50119</b>        | 230.215 (e) revised.....                                                                                                           | <b>81805</b> |
| 210.3–18 Authority citation removed.....                                                                                                                                  | <b>71875</b>        | 230.239T (e) amended.....                                                                                                          | <b>40229</b> |
| 210.3A–05 Removed.....                                                                                                                                                    | <b>71875</b>        | 230.240 Added; interim.....                                                                                                        | <b>40611</b> |
| 210.4–01 (a)(3)(i) introductory text and (ii) amended.....                                                                                                                | <b>50119</b>        | 230.400–230.498 (Regulation C) Authority citation amended.....                                                                     | <b>71876</b> |
| 210.4–08 (h)(3) and Instructions amended.....                                                                                                                             | <b>50119</b>        | 230.400 Authority citation removed.....                                                                                            | <b>71876</b> |
| 210.4–10 (b) amended.....                                                                                                                                                 | <b>50119</b>        | 230.404 Authority citation removed.....                                                                                            | <b>71876</b> |
| 210.10–01 (a)(7) and (b)(5) amended.....                                                                                                                                  | <b>50120</b>        | 230.412 (b) amended.....                                                                                                           | <b>71876</b> |
| 229.10 (c) introductory text and (1)(i) amended; eff. 12–31–12.....                                                                                                       | <b>46617</b>        | 230.414 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.101 Instructions amended.....                                                                                                                                         | <b>50120</b>        | 230.421 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.104 Added.....                                                                                                                                                        | <b>81782</b>        | 230.423 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.201 (d) Instructions amended.....                                                                                                                                     | <b>50120</b>        | 230.427 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.302 (b) and Instructions amended.....                                                                                                                                 | <b>50120</b>        | 230.430 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.303 (a)(4)(ii)(A), (C), (D), (5)(ii)(A), (B), (C) and Instructions amended.....                                                                                       | <b>50120</b>        | 230.431 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.305 Instructions amended.....                                                                                                                                         | <b>50120</b>        | 230.436 Authority citation removed.....                                                                                            | <b>71876</b> |
| 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..... | <b>50121</b>        | 230.460 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.405 Introductory text revised; (a)(1) amended.....                                                                                                                    | <b>71875</b>        | 230.467 Heading, (a) and (b) amended; eff. 12–31–12.....                                                                           | <b>46617</b> |
| 229.503 Instructions amended.....                                                                                                                                         | <b>50121</b>        | 230.470 Authority citation removed.....                                                                                            | <b>71876</b> |
| 229.601 (b)(11) amended.....                                                                                                                                              | <b>50121</b>        | 230.471 Authority citation removed.....                                                                                            | <b>71876</b> |
| (a) table amended; (b)(95) added.....                                                                                                                                     | <b>81783</b>        | 230.473 (d) amended; eff. 12–31–12.....                                                                                            | <b>46617</b> |
| 229.1204 Instructions amended.....                                                                                                                                        | <b>50121</b>        | 230.479 Authority citation removed.....                                                                                            | <b>71876</b> |
| 230 Authority citation revised.....                                                                                                                                       | <b>46617, 81805</b> | 230.480–230.485 Authority citation removed.....                                                                                    | <b>71876</b> |
| Authority citation amended.....                                                                                                                                           | <b>71876</b>        | 230.500 Added.....                                                                                                                 | 18684        |
| 230.122 Authority citation removed.....                                                                                                                                   | <b>71876</b>        | 230.501 Authority citation and preliminary notes after undesignated center heading removed; (a)(5) revised; (e)(1)(i) amended..... | <b>81806</b> |
| 230.134 (a) introductory text and (6) revised; (a)(17) removed.....                                                                                                       | <b>46617</b>        | Introductory text amended.....                                                                                                     | 18685        |
| 230.138 (a)(2)(ii)(B)(2) revised.....                                                                                                                                     | <b>46617</b>        | 230.502 Introductory text amended.....                                                                                             | 18685        |
| 230.139 (a)(1)(i)(A)(I)((ii) and (B)(2)(ii) revised.....                                                                                                                  | <b>46617</b>        | 232.11 Amended.....                                                                                                                | <b>71876</b> |
| 230.144 (a)(3)(viii) amended.....                                                                                                                                         | <b>81805</b>        | 232.13 Regulation at 75 FR 56780 eff. date confirmed.....                                                                          | <b>58100</b> |
| 230.146 (c)T amended.....                                                                                                                                                 | <b>40229</b>        | 232.101 (c)(12), (13) and (14) removed.....                                                                                        | <b>71876</b> |
| (b)(1) and (2) revised.....                                                                                                                                               | 3597                |                                                                                                                                    |              |
| 230.155 (a) amended.....                                                                                                                                                  | <b>81805</b>        |                                                                                                                                    |              |
| 230.168 (a)(2)(ii)(B) revised.....                                                                                                                                        | <b>46617</b>        |                                                                                                                                    |              |
| 230.175 (b)(2)(ii) amended.....                                                                                                                                           | <b>50121</b>        |                                                                                                                                    |              |

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| 232.102 (a) amended; (f) removed ..... | <b>71876</b>                      | (i) added; interim .....            | <b>40612</b> |
| 232.104 (d) amended .....              | <b>71876</b>                      | 240.12h-3 (b)(1) introductory text  |              |
| 232.201 (a) note 1 amended .....       | <b>71876</b>                      | amended; (b) Note added .....       | <b>52555</b> |
| 232.202 Note 1 amended .....           | <b>71876</b>                      | 240.12h-6 (i) Note added .....      | <b>52555</b> |
| 232.301 Revised .....                  | <b>47440, 73508</b>               | 240.13a-11 Regulation at 75 FR      |              |
| Revised .....                          | 19078                             | 56780 eff. date confirmed .....     | <b>58100</b> |
| 232.306 (b) and (c) amended .....      | <b>71876</b>                      | 240.13d-1 Regulation at 75 FR       |              |
| 232.311 (c), (d) and (e) removed;      |                                   | 56780 eff. date confirmed .....     | <b>58100</b> |
| (f) through (i) redesignated           |                                   | 240.13d-102 Regulation at 75 FR     |              |
| as new (c) through (f); new            |                                   | 56780 eff. date confirmed .....     | <b>58100</b> |
| (e)(1) and (2) amended .....           | <b>71876</b>                      | 240.13f-1 (c) amended .....         | <b>71876</b> |
| 232.405 Preliminary Note 1, (a)(2)     |                                   | 240.13h-1 Added .....               | <b>47002</b> |
| introductory text, (3), (4)            |                                   | 240.14a-2 Regulation at 75 FR       |              |
| amd section Note amended;              |                                   | 56780 eff. date confirmed .....     | <b>58100</b> |
| eff. 12-31-12 .....                    | <b>46617</b>                      | 240.14a-4 Regulation at 75 FR       |              |
| 232.501 (c)(2) and (3) amended .....   | <b>71876</b>                      | 56781 eff. date confirmed .....     | <b>58100</b> |
| 239 Authority citation revised .....   | <b>46617, 81806</b>               | 240.14a-5 Regulation at 75 FR       |              |
| Authority citation amended .....       | <b>71876</b>                      | 56782 eff. date confirmed .....     | <b>58100</b> |
| 239.13 Undesignated text heading       |                                   | 240.14a-6 Regulation at 75 FR       |              |
| following (b)(1), (b)(2) and (5)       |                                   | 56782 eff. date confirmed .....     | <b>58100</b> |
| revised .....                          | <b>46617</b>                      | 240.14a-8 Regulation at 75 FR       |              |
| Form S-3 amended .....                 | <b>46618, 81783</b>               | 56782 eff. date confirmed .....     | <b>58100</b> |
| 239.15A Form N-1A amended .....        | <b>50123</b>                      | 240.14a-9 Regulation at 75 FR       |              |
| 239.17a Form N-3 amended .....         | <b>50123</b>                      | 56782 eff. date confirmed .....     | <b>58100</b> |
| 239.17b Form N-4 amended .....         | <b>50123</b>                      | 240.14a-12 Regulation at 75 FR      |              |
| 239.17c Form N-6 amended .....         | <b>50123</b>                      | 56787 eff. date confirmed .....     | <b>58100</b> |
| 239.25 Form S-4 amended .....          | <b>46619, 50121</b>               | 240.14a-18 Regulation at 75 FR      |              |
| 239.33 (b)(2) revised; Form F-3        |                                   | 56787 eff. date confirmed .....     | <b>58100</b> |
| amended .....                          | <b>46619</b>                      | 240.14a-101 Note E(2)(ii) revised   |              |
| 239.34 Form F-4 amended .....          | <b>46620</b>                      | Regulation at 75 FR 56788 eff.      |              |
| 239.37 (h)(3) amended; eff. 12-31-     |                                   | date confirmed .....                | <b>58100</b> |
| 12 .....                               | <b>46620</b>                      | 240.14d-4 Authority citation re-    |              |
| Form F-8 amended .....                 | <b>46620</b>                      | moved .....                         | <b>71876</b> |
| 239.39 Removed; eff. 12-31-12 .....    | <b>46620</b>                      | 240.14d-7 Authority citation re-    |              |
| 239.40 (c)(4) and Form F-10            |                                   | moved .....                         | <b>71876</b> |
| amended; eff. 12-31-12 .....           | <b>46620</b>                      | 240.14n-1 Regulation at 75 FR       |              |
| 239.63 Form ID revised .....           | <b>55791</b>                      | 56788 eff. date confirmed .....     | <b>58100</b> |
| 239.64 Form SE amended .....           | <b>71877</b>                      | 240.14n-2 Regulation at 75 FR       |              |
| 239.90 Form 1-A amended .....          | <b>50121</b>                      | 56788 eff. date confirmed .....     | <b>58100</b> |
| 239.500 Heading and (a)(1) and         |                                   | 240.14n-3 Regulation at 75 FR       |              |
| Form D amended .....                   | <b>81806</b>                      | 56788 eff. date confirmed .....     | <b>58100</b> |
| 240 Authority citation amended         |                                   | 240.14n-101 Regulation at 75 FR     |              |
| .....                                  | <b>34363, 34590, 46620, 71876</b> | 56788 eff. date confirmed .....     | <b>58100</b> |
| Policy statement .....                 | <b>36287, 38293</b>               | 240.15b12-1T Added (temporary)      |              |
| Authority citation revised .....       | <b>41685</b>                      | .....                               | <b>41685</b> |
| 240.0-4 Authority citation re-         |                                   | 240.15d-11 Regulation at 75 FR      |              |
| moved .....                            | <b>71876</b>                      | 56792 eff. date confirmed .....     | <b>58100</b> |
| 240.0-12 (b) revised .....             | <b>43891</b>                      | 240.15d-22 Revised .....            | <b>52555</b> |
| 240.3b-6 (b)(2)(ii) amended .....      | <b>50122</b>                      | 240.15g-1 (c) amended .....         | 18685        |
| 240.11d1-1 (d) amended; authority      |                                   | 240.15Ba2-6T Amended; interim ..... | <b>80735</b> |
| citation removed .....                 | <b>71876</b>                      | 240.15Ga-1 Correctly amended .....  | <b>54375</b> |
| 240.12a-10T (b) amended .....          | <b>40229</b>                      | 240.16a-1 (a)(5)(i) removed;        |              |
| 240.12a-11 Added; interim .....        | <b>40611</b>                      | (a)(5)(ii) and (iii) redesign-      |              |
| 240.12h-1 (h)T amended .....           | <b>40229</b>                      | ated as new (a)(5)(i) and (ii)      |              |
|                                        |                                   | .....                               | <b>71876</b> |

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| 240.16a-2 Introductory text amended .....                                                                                                                                              | 71877        | 249.308a Form 10-Q amended .....           | 81785 |
| 240.16a-3 (d) amended .....                                                                                                                                                            | 71877        | 249.310 Form 10-K amended .....            | 81785 |
| 240.16b-1 (a) designation and (b) removed .....                                                                                                                                        | 71877        | 249.323 Form 15 amended .....              | 52556 |
| 240.17h-1T (a)(1)(vii) amended .....                                                                                                                                                   | 50122        | 249.327 Added .....                        | 47004 |
| 240.19b-4 (a) redesignated as (a)(1); (a)(2) added .....                                                                                                                               | 20509        | 249.328T Form 17-H 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        | 249.444 Form SE amended .....              | 71877 |
| 240.21F-1 Undesignated center heading and section added .....                                                                                                                          | 34363        | 249.446 Form ID revised .....              | 55791 |
| 240.21F-2 Added .....                                                                                                                                                                  | 34363        | 249.819 Form 19b-4 amended; interim .....  | 41063 |
| 240.21F-3 Added .....                                                                                                                                                                  | 34363        | 249.1800—249.1801 (Subpart S) Added .....  | 34371 |
| 240.21F-4 Added .....                                                                                                                                                                  | 34363        | 250 Removed .....                          | 71877 |
| 240.21F-5 Added .....                                                                                                                                                                  | 34363        | 251 Removed .....                          | 71877 |
| 240.21F-6 Added .....                                                                                                                                                                  | 34363        | 256 Removed .....                          | 71877 |
| 240.21F-7 Added .....                                                                                                                                                                  | 34363        | 257 Removed .....                          | 71877 |
| 240.21F-8 Added .....                                                                                                                                                                  | 34363        | 259 Removed .....                          | 71877 |
| 240.21F-9 Added .....                                                                                                                                                                  | 34363        | 260.0-4 Authority citation removed .....   | 71877 |
| 240.21F-10 Added .....                                                                                                                                                                 | 34363        | 260.0-6 Authority citation removed .....   | 71877 |
| 240.21F-11 Added .....                                                                                                                                                                 | 34363        | 260.4d-11T Amended .....                   | 40229 |
| 240.21F-12 Added .....                                                                                                                                                                 | 34363        | 260.4d-12 Added; interim .....             | 40612 |
| 240.21F-13 Added .....                                                                                                                                                                 | 34363        | 260.7a-29 Authority citation removed ..... | 71877 |
| 240.21F-14 Added .....                                                                                                                                                                 | 34363        | 260.19a-1 Amended .....                    | 71877 |
| 240.21F-15 Added .....                                                                                                                                                                 | 34363        | 269.7 Form ID revised .....                | 55791 |
| 240.21F-16 Added .....                                                                                                                                                                 | 34363        | 269.8 Form SE amended .....                | 71877 |
| 240.21F-17 Added .....                                                                                                                                                                 | 34363        | 270.0-4 Authority citation removed .....   | 71877 |
| 242.101 (b)(10)(i) amended .....                                                                                                                                                       | 18685        | 270.3a-8 (b)(9) amended .....              | 50123 |
| 242.102 (b)(7)(i) amended .....                                                                                                                                                        | 18685        | 270.8b-32 Authority citation removed ..... | 71877 |
| 242.104 (j)(2)(i) amended .....                                                                                                                                                        | 18685        | 270.17j-1 (a)(8) amended .....             | 81806 |
| 243.100 (b)(1)(ii) amended .....                                                                                                                                                       | 71877        | 271 Policy statement .....                 | 55237 |
| 249 Authority citation amended .....                                                                                                                                                   | 34371        | 274.11A Form N-1A amended .....            | 50123 |
| 249.103 Form 3 amended .....                                                                                                                                                           | 71877        | 274.11b Form N-3 amended .....             | 50123 |
| 249.104 Form 4 amended .....                                                                                                                                                           | 71877        | 274.11c Form N-4 amended .....             | 50123 |
| 249.105 Form 5 amended .....                                                                                                                                                           | 71877        | 274.11d Form N-6 amended .....             | 50123 |
| 249.220f Form 20-F amended .....                                                                                                                                                       | 50122, 81783 | 274.202 Form 3 amended .....               | 71877 |
| 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        | 274.203 Form 4 amended .....               | 71877 |
| Form 40-F amended; eff. 12-31-12 .....                                                                                                                                                 | 46621        | 274.402 Form ID revised .....              | 55791 |
| Form 40-F amended .....                                                                                                                                                                | 50123, 81784 | 274.403 Form SE amended .....              | 71877 |
| 249.308 Form 8-K amended .....                                                                                                                                                         | 50123, 81785 | 275 Authority citation revised .....       | 39701 |
| Regulation at 75 FR 56792 eff. date confirmed .....                                                                                                                                    | 58100        | 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 |
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| 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, (e)(1)(ii), (iii), (2) and (3) amended..... | 43012                                           | 38.....               | 58186, 77728                                                         |
| 275.203A-3 (a)(4) revised; (d) and (e) added.....                                                                                                                                                                                                                                                             | 43012                                           | 39.....               | 45730, 47529, 58186                                                  |
| 275.203A-4 Removed.....                                                                                                                                                                                                                                                                                       | 43012                                           | 41.....               | 33066                                                                |
| 275.203A-5 Added; eff. 7-21-11; (b) and (c) added; eff. 9-19-11.....                                                                                                                                                                                                                                          | 43012                                           | 43.....               | 15460                                                                |
| 275.204-1 Heading, (b), (a) and (b) Note and (c) revised.....                                                                                                                                                                                                                                                 | 43013                                           | 46.....               | 22833                                                                |
| 275.204-2 (a)(14)(ii) amended; (e)(3)(ii) revised; (1) removed;.....                                                                                                                                                                                                                                          | 43013                                           | 75.....               | 8332                                                                 |
| 275.204-4 Added.....                                                                                                                                                                                                                                                                                          | 43013                                           | 140.....              | 27802, 33066                                                         |
| 275.204a-1 (e)(7) amended.....                                                                                                                                                                                                                                                                                | 81806                                           | 145.....              | 33066                                                                |
| 275.204(b)-1 Added.....                                                                                                                                                                                                                                                                                       | 71174                                           | 155.....              | 33066                                                                |
| 275.205-3 (c), (d)(1)(i) and (ii) revised; (e) added; eff. 5-22-12.....                                                                                                                                                                                                                                       | 10368                                           | 162.....              | 13450                                                                |
| 275.206(4)-5 (a)(1), (2) introductory text, (i), (d) and (f)(9) revised; (f)(2)(i) amended.....                                                                                                                                                                                                               | 43013                                           | 166.....              | 33066                                                                |
| 275.222-1 Heading and (b) amended.....                                                                                                                                                                                                                                                                        | 43014                                           | 190.....              | 31518, 33818, 35141                                                  |
| 275.222-2 Revised.....                                                                                                                                                                                                                                                                                        | 43014                                           | 200—399 (Ch. II)..... | 23221, 44507, 44508, 56128, 79141                                    |
| 279.1 Form ADV amended.....                                                                                                                                                                                                                                                                                   | 43014                                           | 200.....              | 30048                                                                |
| 279.3 Form ADV-H amended.....                                                                                                                                                                                                                                                                                 | 43014                                           | 229.....              | 18966, 25273, 47948, 63573                                           |
| 279.4 Form ADV-NR amended.....                                                                                                                                                                                                                                                                                | 43014                                           | 230.....              | 31518, 34920, 47948, 49698, 60320, 78181                             |
| 279.8 Form ADV-E amended.....                                                                                                                                                                                                                                                                                 | 43014                                           | .....                 | 24                                                                   |
| 279.9 Added.....                                                                                                                                                                                                                                                                                              | 71175                                           | 232.....              | 33420                                                                |
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| 1b Authority citation revised .....                                                                                                                                                                                                                                                                           | 4893                                            |                       |                                                                      |
| 1b.11 Amended.....                                                                                                                                                                                                                                                                                            | 4893                                            |                       |                                                                      |
| 1b.12 Amended.....                                                                                                                                                                                                                                                                                            | 4893                                            |                       |                                                                      |
| 1b.14 (a) amended .....                                                                                                                                                                                                                                                                                       | 4893                                            |                       |                                                                      |

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