

JANUARY 2013

13

CHANGES APRIL 2, 2012 THROUGH JANUARY 31, 2013

**TITLE 17—COMMODITY AND
SECURITIES EXCHANGES**

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

Chapter I Order	41260
Order	858
1 Authority citation revised.....	20198, 21306, 30743, 36694, 48349, 66316
Fee schedule.....	26672, 74351
1.3 (m) revised; (ggg) through (mmm) added	30743
(ggg)(4)(ii)(D), (hhh)(6)(iii)(B)(2) and (jjj)(3)(iii)(A) corrected	39627
(xxx), (yyy), (zzz), (aaaa) and (bbbb) added	48349
(a), (b), (e), (g), (h), (k), (n), (p) through (t), (x), (y) introduc- tory text, (1), (2) introduc- tory text, (iii)(B), (C), (v)(B), (C), (vii), (viii), (aa)(1)(i), (2)(i), (5), (bb), (cc), (ee), (ff), (gg), (ii), (kk), (mm)(1), (2) introductory text, (i), (nn), (oo), (pp), (rr)(2), (ss), (tt), (vv), (xx) and (yy) revised; (jj), (ll) and (uu) removed; (k) and (cccc) through (ssss) added	66316
1.4 Revised	66320
1.6 Added.....	48354
1.7 Added.....	48354
1.8 Added.....	48354
1.9 Added.....	48354
1.16 (a)(4) revised	66320
1.17 (a)(1)(ii) removed; (c)(1)(iii) and (5)(xi) amended; (c)(5)(ii)(A) and (xiii)(C) re- vised	66320
1.20 Revised.....	66320
1.21 Revised.....	66321
1.22 Revised.....	66321
1.23 Revised.....	66321
1.24 Revised.....	66322
1.25 (c)(3) and (e) revised.....	66322
1.26 Revised.....	66322
1.27 (a) introductory text and (6) revised	66322
1.29 Revised.....	66322
1.30 Revised.....	66323
1.31 (a), (b) introductory text, (2)(iii) and (3)(i) revised	66323
(a)(1) revised	75541

1.32 (a)(1), (2), (3) and (b) revised	66323
1.33 (a)(1)(iv) removed; (b)(2), (3) and (4) redesignated as (b)(3), (4) and (5); (a)(3), (4) and new (b)(2) added; (a) introductory text, (1) introductory text, (iii), (2) introductory text, (i), (ii), (iv), (b) introductory text, (1), (3)(i), new (iv), new (4), new (5) and (d) introduc- tory text revised.....	66323
1.34 Revised.....	66324
1.35 (a-1)(5)(iv) revised	21306
Revised.....	66324
Heading and (a) revised	75541
1.36 Revised.....	66328
1.37 Revised.....	66328
1.39 (a) introductory text, (1)(ii), (2), (3), (4), (b) and (c) revised	66329
1.40 Revised.....	66329
1.44 Removed.....	66329
1.46 (a)(1) introductory text, (iii), (iv), (2)(iii), (iv) and (b) re- vised	66329
1.49 (b)(1)(iii) revised.....	66330
1.52 Revised.....	36694
1.53 Removed.....	66330
1.57 (a)(1), (2) introductory text, (ii), (c) introductory text, (1), (2), (4)(i) and (iv) revised	66330
1.59 (a)(1), (4)(i), (5), (7), (8), (9) introductory text, (10), (b)(1) introductory text, (i)(A), (C) and (c) revised	66330
1.62 Removed.....	66331
1.63 (a)(1), (b) introductory text and (d) revised	66331
1.67 Revised.....	66331
1.68 Removed.....	66332
1.71 Added.....	20198
1.72 Added.....	21306
1.73 Added.....	21306
1.74 Added.....	21307
1.75 Added.....	21307
1 Appendix B amended; Appendix C removed.....	66332
3 Authority citation revised.....	20200, 51903
3.1 (a)(1) revised; (h) and (i) added	20200
(a) introductory text, (2) and (3) revised; (a)(4) added; (d) and (e) removed.....	51903

NOTE: Boldface page numbers indicate 2012 changes.

CHANGES APRIL 2, 2012 THROUGH JANUARY 31, 2013

TITLE 17 Chapter I—Con.

3.2 Heading, (c) introductory text and (2) revised.....	51904	12.10 (a)(3) revised	1145
3.3 Added.....	20200	12.408 Heading revised.....	1145
3.4 (a) revised	51904	15.00 (p)(1)(ii) revised	66332
3.10 (a)(3)(i)(A), (c)(2)(i), (3)(i), (4)(ii), (iii) and (iv) revised; (c)(5) added	51904	15.05 (a), (e), (f), (g) and (h) revised	66332
3.11 Revised.....	51905	16 Heading and authority citation revised	36696
3.12 (b), (c) introductory text, (g), (h)(1) introductory text, (i) and (ii) revised	51905	16.00 (a) introductory text revised	66333
3.13 Removed.....	25338	16.01 Revised.....	36696
3.21 (a)(1), (2), (b)(1), (2), (3), (c) introductory text, (4)(i) and (iii) revised; (a)(3) added.....	51906	Heading, (a)(1)(ii), (iv), (b)(1)(ii) and (iv) revised	66333
3.22 (b) revised.....	51906	18.05 (a)(2), (3) and (4) revised.....	66334
3.30 Revised.....	51906	21.03 (b) revised.....	66334
3.31 (a), (b), (c)(1) introductory text, (2) and (d) revised.....	51907	22.1 Amended.....	66334
3.33 (a) introductory text, (b) introductory text and (e) revised	51907	22.2 (c)(2)(ii) and (e)(1) revised.....	66334
3.40 (a)(2) introductory text and (iv) revised.....	51908	22.3 (c)(2)(iii) and (d) revised.....	66334
3.42 (a) introductory text, (2), (6) and (8) revised.....	51908	22.5 (a) and (b) revised	66334
3.44 (a)(5) revised	51908	22.9 (a) and (b) revised	66334
3.46 (a) introductory text, (6), (8) and (10) revised.....	51908	22.10 Revised.....	66335
3.56 (b)(1)(iv) revised	51908	22.11 Heading, (a)(1), (2), (b)(2), (c)(1), (2) and (d)(2) revised.....	66335
3.60 (b)(2)(i) introductory text, (f)(3) and (l) revised.....	51908	22.12 (a) introductory text and (c) introductory text revised	66335
3.64 (a)(2) revised	51909	22.13 (a) revised.....	66335
3.75 (a) revised.....	51909	22.14 Heading, (a)(2) and (c)(2) revised	66335
4 Authority citation revised.....	54358	22.15 Revised.....	66335
4.7 (a)(2)(i)(C) added.....	54358	22.16 Heading revised	66335
4.22 (a)(3) revised	54358	23 Authority citation revised.....	20202, 21307
4.23 (a)(1), (7) and (b)(1) revised	54358	23.200—23.206 (Subpart F) Added	20202
(a)(1) and (b)(1) amended.....	66332	23.201 (b)(3)(ii) compliance date extended	17
4.24 (g), (h)(1)(i), (i)(2)(xii), (j)(1)(vi), (3), (l)(1)(iii), (2) introductory text and (i) revised	54358	23.402 Compliance date extended	17
4.30 Revised.....	54359	23.410 (c) compliance date extended.....	17
4.32 Removed.....	54359	23.430 Compliance date extended	17
4.33 (a)(6) and (b)(1) revised	54359	23.431 (a), (b) and (c) compliance date extended.....	17
(b)(1) amended.....	66332	23.432 Compliance date extended	17
4.34 (g), (i)(2), (j)(3), (k)(1)(iii), (2) introductory text and (i) revised	54359	23.434 (a)(2), (b) and (c) compliance date extended	17
5.1 (k) and (m) revised	66332	23.440 Compliance date extended	17
7 Revised	66332	23.450 Compliance date extended	17
8 Removed.....	66332	23.500—23.506 (Subpart I) Added	21307
9.9 (b)(1) introductory text, (3) and (4) revised.....	1145	23.500—23.505 (Subpart I) Added	55960

NOTE: Boldface page numbers indicate 2012 changes.

CHANGES APRIL 2, 2012 THROUGH JANUARY 31, 2013

23.505 Compliance date extended	17	38.350—38.351 (Subpart G) Added	36700
23.600—23.607 (Subpart J) Added	20205	38.400—38.401 (Subpart H) Added	36700
23.608 Added	21308	38.450—38.451 (Subpart I) Added	36700
23.609 Added	21308	38.500 (Subpart J) Added	36700
23.610 Added	21308	38.550—38.553 (Subpart K) Added	36700
23.611 Added	21308	38.600—38.606 (Subpart L) Added	21309
32 Revised	25338	Regulation at 77 FR 21309 cor- rectly removed	37803
33 Heading revised	25343	38.600—38.607 (Subpart L) Added	36700
33.2 (b) revised	25343	38.601 (b) correctly added	37803
33.4 Introductory text, (b)(1)(iii) and (d)(3) amended; (a)(4) and (5)(iv) removed	25343	38.650—38.651 (Subpart M) Added	36700
33.7 (b) introductory text, (1), (2), (5), (6), (7)(ii), (v) and (x) amended; undesignated text following (b)(5) revised; (b)(7)(iv) removed	25343	38.700—38.712 (Subpart N) Added	36700
36.1 Revised	66336	38.750—38.751 (Subpart O) Added	36700
36.2 (a) introductory text, (2)(i), (b) introductory text, (c)(1), (2)(i) introductory text, (ii) introductory text, (iii), (iv)(A) introductory text and (3) revised; (a)(3) added	66336	38.800—38.801 (Subpart P) Added	36700
36.3 Revised	66336	38.850—38.851 (Subpart Q) Added	36700
36 Appendix A amended	66339	38.900 (Subpart R) Added	36700
Appendix B revised	66340	38.950—38.951 (Subpart S) Added	36700
37 Revised	21309	38.1000—38.1001 (Subpart T) Added	36700
38 Authority citation revised	21309	38.1050—38.1051 (Subpart U) Added	36700
	36697	38.1100—38.1101 (Subpart V) Added	36700
38.1—38.6 (Subpart A) Subpart A heading added	21309	38.1150 (Subpart W) Added	36700
Designated as Subpart A	36697	38.1200—38.1201 (Subpart X) Added	36700
Regulation at 77 FR 21309 cor- rectly removed	37803	38 Appendix A revised	36709
38.1 Amended	36697	Appendix B revised	36717
38.2 Revised	36697, 66343	39 Authority citation revised	42590
38.3 Revised	36697	39.6 Added	42590
38.4 (a) and (b) revised	36698	Removed	74335
38.5 Revised	36699	39.12 (a)(1)(vi) and (b)(7) added	21309
38.7 Added	36699	41.1 (e) revised	66344
38.8 Added	36699	41.2 Revised	66344
38.9 Added	36699	41.11 (a) introductory text, (b)(1) introductory text, (2) intro- ductory text, (c) and (d)(5) introductory text revised	66344
38.10 Added	36700	41.12 (a) introductory text re- vised	66344
38.100 (Subpart B) Added	36700	41.13 Revised	66344
38.150—38.160 (Subpart C) Added	36700	41.21 (a)(1), (3), (b)(1), (2) and (4) revised	66344
38.200—38.201 (Subpart D) Added	36700		
38.250—38.258 (Subpart E) Added	36700		
38.300—38.301 (Subpart F) Added	36700		

NOTE: Boldface page numbers indicate 2012 changes.

CHANGES APRIL 2, 2012 THROUGH JANUARY 31, 2013

TITLE 17 Chapter I—Con.

41.22 Introductory text and (e) revised	66344
41.23 (a) introductory text, (5) and (b) revised	66344
41.24 (b) removed; (c) redesignated as new (b); new (b) revised	66344
41.25 (a)(1), (2) introductory text, (3) introductory text, (i)(A), (B), (iv) and (d) revised	66345
41.27 (a)(1), (3) introductory text, (4)(v), (5), (b), (d) introductory text, (1), (4) and (f) revised; (c)(2) and (e)(2) removed	66345
41.43 (a)(4)(i)(B) and (30) revised	66346
41.49 (b) introductory text revised	66346
42 Technical correction	48060
46 Added	35226
50 Added	44455
Authority citation revised	74335
50.1—50.24 (Subpart A) Added	74335
50.25—50.49 (Subpart B) Added	74337
50.25 Designated under Subpart B	74337
50.50 (Subpart C) Added	74337
140.72 Heading, (a), (b), (d) and (f) revised	66346
140.77 Heading and (a) revised	66347
140.96 (a) and (b) revised	66347
140.99 (d)(2) revised	66347
140.735-2 (b)(1)(i), (ii) and (iii) redesignated as (b)(1)(ii), (iv) and (v); new (b)(1)(i) and (iii) added; (b)(2) and (c) revised	66347
140.735-2a (b)(1) revised	66348
140.735-3 Revised	66348
143.8 (a) revised	65102
145.9 (c)(1), (d)(1) introductory text and (vi) revised	66348
145 Appendix A amended	66348
155.2 Introductory text revised	66348
155.3 (a)(1), (b)(2)(ii) and (c)(1) revised	66349
155.4 (a)(1), (b)(2)(ii) and (c)(2) revised	66349
155.6 Removed	66349
160 Appendices A and B correctly reinstated	76356
166.2 (a) introductory text and (b) revised	66349
166.5 (a)(2) revised	66349
171.1 (c) revised	1145

171.50 (a) introductory text, (c) and (d) revised	1145
---	------

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

200.1—200.30-18 (Subpart A) Authority citation amended	4766
229 Authority citation revised	38453
229 Technical correction	39390
229.407 (e)(3)(iv) added	38453
229.801 Industry guides	42175
229.802 Industry guides	42175
230.194 Added	48356
230.239 Added	20549
232.10 (b)(2) revised	54807
232.101 (a)(1)(ix) revised	54807
232.301 Revised	54808, 62432
Revised	4768
239.63 Form ID amended	4768
240 Authority citation amended	30751, 41647, 56362, 56417, 66285
Authority citation revised	38454, 48356, 73305
Technical correction	39390, 50016, 70116
Authority citation corrected	43487
Clarification	43487
Authority citation amended	4783
240.3a67-1 Undesignated center heading and section added	30751
240.3a67-2 Added	30751
240.3a67-3 Added	30751
240.3a67-4 Added	30751
240.3a67-5 Added	30751
240.3a67-6 Added	30751
240.3a67-7 Added	30751
240.3a67-8 Added	30751
240.3a67-9 Added	30751
240.3a68-1a Undesignated center heading and section added	48356
240.3a68-1b Added	48356
240.3a68-2 Added	48356
240.3a68-3 Added	48356
240.3a68-4 Added	48356
240.3a68-5 Added	48356
240.3a69-1 Added	48356
240.3a69-2 Added	48356
240.3a69-3 Added	48356
240.3a71-1 Added	30751
240.3a71-2 Added	30751
240.3a71-2A Added	30751
240.3Ca-1 Undesignated center heading and section added	41647
240.3Ca-2 Added	41647

NOTE: Boldface page numbers indicate 2012 changes.

CHANGES APRIL 2, 2012 THROUGH JANUARY 31, 2013

240.10C-1 Undesignated center heading and section added.....	38454	Regulation at 75 FR 41069 compliance date extended.....	35263
240.12a-10 Added.....	20549	<i>Proposed Rules:</i>	
240.12h-1 (h) added.....	20549	1—199 (Ch. I).....	28819, 41110, 41214
240.13p-1 Added.....	56362	1	67866
240.13q-1 Added.....	56417		4093
240.15b1-6 Added.....	4783	3	35892, 67866
240.15b12-1T (d) revised; interim	41677		4093
240.15Ba2-6T Amended	59064	15.....	43968
240.17Ad-7 (i) amended	4784	16.....	43968
240.17Ad-17 (a)(2), (b)(2)(i) and (ii) amended; (c) redesignated as (d); new (c) added; heading, (a)(1), (3) and new (d) revised	4784	17.....	43968
240.17Ad-22 Added	66285	18.....	43968
240.19b-4 Introductory text, (i) and (j) amended; (b) removed; (a) redesignated as new (b); new (a), (n) and (o) added; (1) introductory text revised	41648	20.....	43968
(n)(1)(ii) and (o)(2)(ii) amended	73305	22.....	67866
241 Interpretive releases.....	42988, 48362		4093
242.613 Added	45808	23	35892, 41109
249 Authority citation amended	41650	30.....	67866
Clarification	43487		4093
Technical correction.....	70116	39	41940, 50425
Authority citation revised.....	73305	43.....	38229
249.446 Form ID amended	4768	49.....	26709
249.819 Revised; Form 19b-4 revised	41650	50.....	47170
Form 19b-4 amended.....	73305	140.....	67866
Form 19b-4 corrected.....	74775		4093
249.1300T (Subpart N) Added.....	42176	151.....	31767
Expiration date delayed to 9-30-13	59064	200—399 (Ch. II)	71743
249b Authority citation amended	56362, 56418	230	20749, 54464
249b.400 Added; Form SD added	56362	239.....	54464
Existing text designated as (a); (b) added; Form SD amended	56418	240.....	27150, 35625, 70214, 71369, 71568
260.4d-11 Added.....	20549		4365
269.7 Form ID amended	4768	270.....	20749
270 Authority citation amended	70120	275.....	62185
270.6a-5 Added	70120	TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES	
274.402 Form ID amended	4768	Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)	
275.206(3)—3T (d) amended.....	76860	2 Policy statement.....	69754
275.206(4)-5 (f)(2)(i) revised	28477	Policy statement	5268
		4 Authority citation revised.....	65474
		Technical correction.....	67562
		4.39 (e) amended.....	65474
		5 Authority citation revised.....	65474
		Technical correction.....	67562
		5.29 (c) revised.....	65475
		11.2 Revised.....	5265
		16 Authority citation revised.....	65475
		Technical correction.....	67562
		16.8 (g) heading amended	65475
		33 Authority citation revised.....	65475

NOTE: Boldface page numbers indicate 2012 changes.