

FEBRUARY 2017

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CHANGES APRIL 1, 2016 THROUGH FEBRUARY 28, 2017

**TITLE 17—COMMODITY AND  
SECURITIES EXCHANGES**

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

|                                                                                                                                                                            |                     |
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| 1.20 (g)(4)(i) and (ii) revised.....                                                                                                                                       | <b>53267</b>        |
| 3 Policy statement.....                                                                                                                                                    | <b>54478</b>        |
| Authority citation revised.....                                                                                                                                            | <b>80566</b>        |
| 3.3 (f)(2) revised; (h) added.....                                                                                                                                         | <b>80566</b>        |
| 3.21 (e) added.....                                                                                                                                                        | <b>18747</b>        |
| 4.7 (b)(2)(v) revised.....                                                                                                                                                 | <b>85154</b>        |
| 4.22 (a)(6), (c)(7)(iii), (d)(1) intro-<br>ductory text, (2) and (g)(2)<br>revised.....                                                                                    | <b>85154</b>        |
| 4.27 (c)(2) revised.....                                                                                                                                                   | <b>85155</b>        |
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| 23.500 (g) and (i)(1) revised.....                                                                                                                                         | <b>27314</b>        |
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| 37.1401 (f) removed; (c), (d), (e)<br>and (h) redesignated as new<br>(d), (e), (f) and (j); (a), (b) and<br>(g) revised; new (c), (h), (i),<br>(k), (l) and (m) added..... | <b>64310</b>        |
| 37 Appendix B amended.....                                                                                                                                                 | <b>64312</b>        |
| 38.1051 (a), (b), (c), (g), (h) and (i)<br>introductory text revised;<br>(k) through (n) added.....                                                                        | <b>64312</b>        |
| 39.18 Revised.....                                                                                                                                                         | <b>64336</b>        |
| 39.34 (a), (b)(3) and (c) revised.....                                                                                                                                     | <b>64339</b>        |
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| 49.24 (b), (c), (d), (i), (j) and (k)<br>introductory text revised;<br>(l), (m) and (n) added.....                                                                         | <b>64315</b>        |
| 50.4 (a) revised.....                                                                                                                                                      | <b>71239</b>        |
| 143 Authority citation revised.....                                                                                                                                        | <b>41437</b>        |
| 143.8 (a)(1) through (4) and (b) re-<br>vised; (c) removed; interim<br>.....                                                                                               | <b>41437</b>        |

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| (a)(1)(ii) introductory text,<br>(2)(ii), (3)(ii) introductory<br>text and (4)(ii) introductory<br>text revised; (a)(1)(iii),<br>(2)(iii), (3)(iii), and (4)(iii)<br>added; interim..... | <b>7645</b>  |
| 150 Authority citation revised.....                                                                                                                                                      | <b>91489</b> |
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| 200.30-1 (a)(7) and (c) amended.....                                                                                                                                                     | <b>83550</b> |
| 200.800 (b) table amended (OMB<br>numbers); eff. 6-1-18.....                                                                                                                             | <b>82009</b> |
| 201.141 (a)(2)(iv), (v) and (3) re-<br>vised.....                                                                                                                                        | <b>50233</b> |
| 201.154 Introductory text added;<br>(b) amended.....                                                                                                                                     | <b>50234</b> |
| 201.161 (c)(2)(iii) revised.....                                                                                                                                                         | <b>50234</b> |
| 201.180 (a)(1) introductory text,<br>(i), (2) and (c) introductory<br>text revised.....                                                                                                  | <b>50234</b> |
| 201.220 Revised.....                                                                                                                                                                     | <b>50234</b> |
| 201.221 (c) revised.....                                                                                                                                                                 | <b>50234</b> |
| 201.222 Heading and (b) revised.....                                                                                                                                                     | <b>50235</b> |
| 201.230 (a)(1)(vi), (b)(1)(iii) and (c)<br>amended; (b) heading re-<br>vised; (b)(1)(iv) and (2) redesi-<br>gnated as (b)(1)(v) and (3);<br>new (b)(1)(iv) and (2) added<br>.....        | <b>50235</b> |
| 201.232 (a) introductory text and<br>(c) through (f) revised.....                                                                                                                        | <b>50235</b> |
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| 201.235 Heading, (a) introductory<br>text, (2), (4) and (5) revised;<br>(b) added.....                                                                                                   | <b>50238</b> |
| 201.250 Revised.....                                                                                                                                                                     | <b>50239</b> |
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| 201.360 Heading, (a)(2), (3), (b) in-<br>troductory text and (c) re-<br>vised.....                                                                                                       | <b>50239</b> |
| 201.410 (b) revised; (c) redesi-<br>gnated as (d); new (c) added<br>.....                                                                                                                | <b>50240</b> |
| 201.411 (c) amended; (d) revised<br>.....                                                                                                                                                | <b>50240</b> |
| 201.420 (a) revised; (c) amended<br>.....                                                                                                                                                | <b>50240</b> |
| 201.440 (b) revised.....                                                                                                                                                                 | <b>50241</b> |

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## TITLE 17 Chapter II—Con.

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| 201.450 (b), (c) and (d) revised.....                                      | 50241               | 239.14 Form N-2 amended; eff. in part 8-1-19.....                        | 82022        |
| 201.900 Revised.....                                                       | 50241               | 239.15A Form N-1A amended; eff. in part 8-1-19.....                      | 82021        |
| 201.1001 (Subpart E) Revised; interim.....                                 | 43045               | 239.17a Form N-3 amended; eff. in part 8-1-19.....                       | 82022        |
| 201.1001 Revised.....                                                      | 5371                | 239.17b Form N-4 amended.....                                            | 82023        |
| 210.6-01 Undesignated center heading and section revised.....              | 82010               | 239.17c Form N-6 amended.....                                            | 82023        |
| 210.6-02 (e) added.....                                                    | 82137               | 239.23 Form N-14 amended.....                                            | 82019        |
| 210.6-03 Revised.....                                                      | 82010               | 239.45 Form SF-3 amended.....                                            | 40512        |
| 210.6-03 (m) added.....                                                    | 82137               | 239.500 Heading, (a)(1) and Form D amended; eff. 5-22-17.....            | 83553        |
| 210.6-04 Revised.....                                                      | 82011               | 240 Authority citation revised.....                                      | 28705, 30142 |
| 210.6-05 Revised.....                                                      | 82012               | Authority citation amended.....                                          | 70900        |
| 210.6-07 Revised.....                                                      | 82012               | Technical correction.....                                                | 32643        |
| 210.6-10 Revised.....                                                      | 82013               | Policy statement.....                                                    | 33374, 49163 |
| 210.12-12 Revised.....                                                     | 82014               | 240.3a67-10 (a)(5), (6) and (d) added.....                               | 30142        |
| 210.12-12A Revised.....                                                    | 82015               | 240.3a71-3 (a)(6) through (9) and (c) added.....                         | 30142        |
| 210.12-12B Revised.....                                                    | 82015               | 240.3a71-6 Added.....                                                    | 30143        |
| 210.12-12C Removed.....                                                    | 82016               | (d)(3) added.....                                                        | 39844        |
| 210.12-13 Revised.....                                                     | 82016               | 240.3b-4 (c)(1) Instruction redesignated as (c)(1) Note and revised..... | 28705        |
| 210.12-13A Added.....                                                      | 82017               | 240.10A-1 (a)(4)(i) amended; eff. 6-1-18.....                            | 82020        |
| 210.12-13B Added.....                                                      | 82017               | 240.12a-11 Revised; interim.....                                         | 10707        |
| 210.12-13C Added.....                                                      | 82017               | 240.12b-25 Heading, (a) and (b)(2)(ii) amended; eff. 6-1-18.....         | 82020        |
| 210.12-13D Added.....                                                      | 82018               | 240.12g-1 Revised.....                                                   | 28705        |
| 210.12-14 Revised.....                                                     | 82018               | (b)(1) correctly revised.....                                            | 95458        |
| 229.1100 (a) amended.....                                                  | 40512               | 240.12g-2 Revised.....                                                   | 28705        |
| 229.1104 (e)(2) amended.....                                               | 40512               | 240.12g-3 (a)(2), (b)(2) and (c)(2) revised.....                         | 28706        |
| 229.1105 (a)(3)(ii) amended.....                                           | 40512               | 240.12g-4 (a) revised.....                                               | 28706        |
| 229.1115 Amended.....                                                      | 40512               | 240.12g5-1 (a)(8) added.....                                             | 28706        |
| 229.1125 Appendix amended.....                                             | 40512               | 240.12h-1 (i) revised; interim.....                                      | 10707        |
| 230.147 Revised; eff. 4-20-17.....                                         | 83550               | 240.12h-3 (b)(1) revised.....                                            | 28706        |
| 230.147A Added; eff. 4-20-17.....                                          | 83551               | 240.13a-10 (h) and Note 1 amended; eff. 6-1-18.....                      | 82020        |
| 230.240 Revised; interim.....                                              | 10707               | 240.13a-11 (b) introductory text amended; eff. 6-1-18.....               | 82020        |
| 230.405 Amended.....                                                       | 28705, 40512        | 240.13a-13 (b)(1) amended; eff. 6-1-18.....                              | 82020        |
| 230.456 (c)(3) amended.....                                                | 40512               | 240.13a-16 (a)(1) amended; eff. 6-1-18.....                              | 82020        |
| 230.501 (e) introductory text amended; eff. 5-22-17.....                   | 83553               | 240.13n-4 (b)(8) amended; (b)(9), (10) and (d) added.....                | 60607        |
| 230.502 (b)(1), (2)(iv), (v) and (vii) amended; eff. 5-22-17.....          | 83553               | 240.13q-1 Revised.....                                                   | 49426        |
| 230.503 (a)(1) amended.....                                                | 83553               | 240.15d-10 (h) amended; eff. 6-1-18.....                                 | 82020        |
| 230.504 Heading and (b)(2) revised; (b)(3) added.....                      | 83553               | 240.15d-11 (b) introductory text amended; eff. 6-1-18.....               | 82020        |
| (b)(2) correctly revised.....                                              | 12067               |                                                                          |              |
| 230.505 Removed; eff. 5-22-17.....                                         | 83553               |                                                                          |              |
| 230.507 Heading and (a) amended; eff. 5-22-17.....                         | 83553               |                                                                          |              |
| 230.508 (a) introductory text, (2), (3) and (b) amended; eff. 5-22-17..... | 83553               |                                                                          |              |
| 232.105 (a) removed; eff. 6-1-18.....                                      | 82019               |                                                                          |              |
| 232.301 Revised.....                                                       | 31502, 43048, 67119 |                                                                          |              |
| Amended; eff. 6-1-18.....                                                  | 82019               |                                                                          |              |
| Revised.....                                                               | 7647, 9681          |                                                                          |              |
| 232.401 (d)(2)(iii) amended; eff. 8-1-19.....                              | 82019               |                                                                          |              |

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| 240.15d-13 (b)(1) amended; eff. 6-1-18 .....                                                                           | <b>82020</b> | 270.8b-33 Amended; eff. 8-1-19 .....                                                                                  | <b>82020</b>               |
| 240.15d-16 (a)(1) amended; eff. 6-1-18 .....                                                                           | <b>82020</b> | 270.10f-3 (c)(9) removed; eff. 6-1-18 .....                                                                           | <b>82020</b>               |
| 240.15Fb1-1 Undesignated center heading revised .....                                                                  | <b>39844</b> | 270.17j-1 (a)(8) amended; eff. 5-22-17 .....                                                                          | <b>83554</b>               |
| 240.15Fh-1 Added .....                                                                                                 | <b>30144</b> | 270.22c-1 (a)(3) added .....                                                                                          | <b>82137</b>               |
| 240.15Fh-2 Added .....                                                                                                 | <b>30144</b> | 270.22e-4 Added .....                                                                                                 | <b>82264</b>               |
| 240.15Fh-3 Added .....                                                                                                 | <b>30144</b> | 270.30a-1 Revised; eff. 6-1-18 .....                                                                                  | <b>82020</b>               |
| 240.15Fh-4 Added .....                                                                                                 | <b>30144</b> | 270.30a-2 Heading and (a) amended; eff. 8-1-19 .....                                                                  | <b>82021</b>               |
| 240.15Fh-5 Added .....                                                                                                 | <b>30144</b> | 270.30a-3 (b) and (c) amended; eff. 8-1-19 .....                                                                      | <b>82021</b>               |
| 240.15Fh-6 Added .....                                                                                                 | <b>30144</b> | 270.30a-4 Added; eff. 6-1-18 .....                                                                                    | <b>82021</b>               |
| 240.15Fi-1 Added .....                                                                                                 | <b>39844</b> | 270.30b1-1 Removed; eff. 6-1-18 .....                                                                                 | <b>82021</b>               |
| 240.15Fi-2 Added .....                                                                                                 | <b>39844</b> | 270.30b1-2 Removed; eff. 6-1-18 .....                                                                                 | <b>82021</b>               |
| 240.15Fk-1 Added .....                                                                                                 | <b>30144</b> | 270.30b1-3 Removed; eff. 6-1-18 .....                                                                                 | <b>82021</b>               |
| 240.15g-9 (c)(2) amended; eff. 5-22-17 .....                                                                           | <b>83553</b> | 270.30b1-5 Removed; eff. 8-1-19 .....                                                                                 | <b>82021</b>               |
| 240.17a-23 Removed; CFR correction .....                                                                               | <b>18747</b> | 270.30b1-9 Added .....                                                                                                | <b>82021</b>               |
| 240.17Ab2-2 Added .....                                                                                                | <b>70901</b> | 270.30b1-10 Added .....                                                                                               | <b>82266</b>               |
| 240.17Ad-22 (a), (c)(1) and (d) introductory text revised; (e) and (f) added .....                                     | <b>70901</b> | 270.30d-1 Amended; eff. in part 8-1-19 and in part 6-1-18 .....                                                       | <b>82021</b>               |
| 241 Interpretive releases .....                                                                                        | <b>40793</b> | 270.31a-2 (a)(2) revised .....                                                                                        | <b>82138</b>               |
| 242 Policy statement .....                                                                                             | <b>94251</b> | 274 Authority citation amended .....                                                                                  | <b>82021, 82138, 82266</b> |
| 242.900 (u) revised; (tt) added .....                                                                                  | <b>53653</b> | 274.11A Form N-1A amended; eff. in part 8-1-19 .....                                                                  | <b>82021</b>               |
| 242.901 (a)(1), (2)(i), (ii)(E)(2), (3), (4), (3) and (e)(1)(ii) added; (d)(4), (8), (9), (e)(2) and (h) revised ..... | <b>53653</b> | 274.11A Form N-1A amended .....                                                                                       | <b>82138, 82266</b>        |
| 242.902 (c)(6) and (7) revised; (c)(8) added .....                                                                     | <b>53654</b> | 274.11a-1 Form N-2 amended; eff. in part 8-1-19 .....                                                                 | <b>82022</b>               |
| 242.905 (a) revised .....                                                                                              | <b>53654</b> | 274.11b Form N-3 amended; eff. in part 8-1-19 .....                                                                   | <b>82022</b>               |
| 242.906 Revised .....                                                                                                  | <b>53654</b> | 274.11c Form N-4 amended .....                                                                                        | <b>82023</b>               |
| 242.907 (a)(6) revised .....                                                                                           | <b>53655</b> | 274.11d Form N-6 amended .....                                                                                        | <b>82023</b>               |
| 242.908 (a)(1)(i) and (ii) amended; (a)(1)(iii), (iv), (v), (b)(3), (4) and (5) added; (b)(1) and (2) revised .....    | <b>53655</b> | 274.101 Revised; eff. 6-1-18 .....                                                                                    | <b>82023</b>               |
| 249 Authority citation revised .....                                                                                   | <b>37138</b> | 274.101 Form N-CEN amended .....                                                                                      | <b>82139</b>               |
| Authority citation amended .....                                                                                       | <b>82020</b> | 274.101 Amended; eff. 6-1-18 .....                                                                                    | <b>82267</b>               |
| 249.308 Form 8-K amended .....                                                                                         | <b>40512</b> | 274.128 Form N-CSR amended .....                                                                                      | <b>82066</b>               |
| Form 8-K amended; eff. 5-22-17 .....                                                                                   | <b>83553</b> | 274.130 Removed; eff. 8-1-19 .....                                                                                    | <b>82066</b>               |
| 249.310 Form 10-K amended; interim .....                                                                               | <b>37138</b> | 274.150 Added .....                                                                                                   | <b>82066</b>               |
| 249.312 Form 10-D amended .....                                                                                        | <b>40512</b> | 274.150 Form N-PORT amended .....                                                                                     | <b>82267</b>               |
| 249.322 (a) amended; eff. 6-1-18 .....                                                                                 | <b>82020</b> | 274.218 Form N-8F amended; eff. 6-1-18 .....                                                                          | <b>82081</b>               |
| 249.330 Revised; eff. 6-1-18 .....                                                                                     | <b>82020</b> | 274.223 Added .....                                                                                                   | <b>82268</b>               |
| 249.332 Removed; eff. 8-1-19 .....                                                                                     | <b>82020</b> | 275 Authority citation amended .....                                                                                  | <b>60457</b>               |
| 249b Authority citation amended .....                                                                                  | <b>49427</b> | Policy statement .....                                                                                                | <b>66526</b>               |
| 249b.400 Form SD amended .....                                                                                         | <b>49427</b> | 275.202(a)(11)(G)-1 (e) removed .....                                                                                 | <b>60457</b>               |
| 260.4d-12 Revised; interim .....                                                                                       | <b>10707</b> | 275.203-1 (a) and Note to (a) and (b) amended; (b) and (e) removed; (c) and (d) redesignated as new (b) and (c) ..... | <b>60457</b>               |
| 270.8b-16 (a) amended; eff. 6-1-18 .....                                                                               | <b>82020</b> | 275.203A-5 Removed .....                                                                                              | <b>60457</b>               |

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## TITLE 17 Chapter II—Con.

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| 275.204-1 (b)(1) amended; (c) removed; (d) and (e) redesignated as new (c) and (d) ..... | <b>60458</b> |
| 275.204-2 (a)(7) revised; (a)(16) amended .....                                          | <b>60458</b> |
| 275.204-3 (g) removed; (h) redesignated as new (g) .....                                 | <b>60458</b> |
| 275.204A-1 (e)(7) amended; eff. 5-22-17 .....                                            | <b>83554</b> |
| 279.1 Form ADV amended .....                                                             | <b>60458</b> |

*Proposed Rules:*

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| 1 .....                | <b>20583, 36484, 71946, 85334, 91252, 96704</b>                      |
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| 3 .....                | <b>51824, 53343</b>                                                  |
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| 210 .....              | <b>23916, 51608, 66898</b>                                           |
| 229 .....              | <b>23916, 41652, 43130, 51608, 58877, 59927, 62689, 66898</b>        |
| 230 .....              | <b>23916, 43130, 51608, 66898</b>                                    |
| 232 .....              | <b>23916, 62689</b>                                                  |
| 239 .....              | <b>23916, 41652, 51608, 58877, 62689, 66898</b>                      |
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| 241 .....              | <b>20583</b>                                                         |
| 242 .....              | <b>49432</b>                                                         |
| 249 .....              | <b>23916, 41652, 51608, 58877, 62689, 66898</b>                      |
| 274 .....              | <b>51608, 66898</b>                                                  |
| 275 .....              | <b>32686, 37670, 43530, 60651, 60653</b>                             |
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## TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

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

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| 35 Policy statement .....                                                                                                               | <b>40793, 50290</b> |
| Policy statement .....                                                                                                                  | 9343                |
| 35.1 (d)(2), (3) and (g) amended; CFR correction .....                                                                                  | <b>18748</b>        |
| 35.4 Revised; CFR correction .....                                                                                                      | <b>18748</b>        |
| 35.11 Amended; CFR correction .....                                                                                                     | <b>18748</b>        |
| 35.28 (g)(1)(iv)(A) revised; (g)(1)(vi) added .....                                                                                     | <b>42909</b>        |
| (g)(9) added .....                                                                                                                      | <b>87799</b>        |
| 35.36 (a)(4) amended .....                                                                                                              | <b>33383</b>        |
| 35.42 (a)(1) and (2)(i) revised .....                                                                                                   | <b>33383</b>        |
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| 39 Policy statement .....                                                                                                               | 8993                |
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| 40 Policy statement .....                                                                                                               | <b>49878, 67120</b> |
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| 375 Technical correction .....                                                                                                          | 1183                |
| 375.309 (i) added .....                                                                                                                 | <b>86575</b>        |
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| 381.302 (a) amended .....                                                                                                               | 9129                |
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NOTE: Boldface page numbers indicate 2016 changes.