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CHANGES APRIL 2, 2018 THROUGH OCTOBER 31, 2018

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

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

1.33 (a)(2) and (b)(3) introductory text revised 30534
3.1 (j) added 43522
3.3 (d), (e), and (f) revised 43522
3 Appendix C added 43523
30 Policy statement 23577
49 Authority citation revised 27436
49.2 (a)(5) revised 27436
49.9 (a)(9) revised 27436
49.17 (a), (b)(1)(vii), (2), (c)(2), (d)(1), (2), (3), (4)(i) through (iv), (5), (6), (e), and (f) revised; (c)(2) and (3) amended; (h) and (i) added 27436
49.18 Revised 27438
49.22 (d)(4) revised 27439
49 Appendix B added 27439

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

200.30-7 (d) redesignated as (e); new (d) added 44466
200.30-14 (i) through (m) redesignated as (k) through (o); new (i) and new (j) added; new (k) revised 44466
200.80—200.83 (Subpart D) Revised 30327
200.80 (a)(2) introductory text, (c)(1)(ii), and (e)(8)(ii) revised 25366
200.80 Revised 30327
200.80a Removed 30333
200.80b Revised 25366
200.80b Removed 30333
200.80c Removed 30333
200.80d Removed 30333
200.80e Removed 30333
200.80f Removed 30333
200.800 (b) table amended (OMB number) 29203
201.360 (c) and (d)(2) revised 25366
201.1103 Revised 25366
210.1-02 (d), (w)(3), and (bb)(1)(ii) revised; Computational note redesignated in part as (w)(3) Computational note 1; new (w)(3) Computational note 1 amended; (cc) and (dd) added 50197
210.2-01 (f)(7)(ii)(B) revised 50198
210.2-02 (b)(1) revised 50198
210.3-01 (c)(2) and (3) revised 50198
210.3-02 Heading, (a), and (b) revised 50198
210.3-03 Heading, (b), and (d) revised; (e) removed 50198
210.3-04 Revised 50199
210.3-05 (b)(2)(iv) revised 32018
210.3-05 (b)(4)(iii) revised 50199
210.3-12 (a) revised 50199
210.3-14 (a) introductory text revised; (a)(1)(iii) note redesignated as (a)(1) Note 1 50199
210.3-15 (a) and (b) removed 50199
210.3-17 (a) revised 50199
210.3A-01 Removed 50200
210.3A-02 Revised 50200
210.3A-03 (a) removed; (b) revised 50200
210.3A-04 Removed 50200
210.3-20 Heading and (d) revised; (a) and (b) redesignated as (a)(1) and (b)(1); (a)(2) and (b)(2) added 50199
210.4-01 (a)(3) removed 50200
210.4-08 Introductory text, (e)(1), (3) introductory text, (f), (h)(1) introductory text, (h)(2), (k), (m)(2)(ii), and (n) revised; (d)(1) and (h)(1) note redesignated as (d) and (h)(1) Note 1; (a), (d)(2), (h)(3), and (i) removed; (d)(1) redesignated as (d) 50200
210.4-10 (c)(7)(i) revised 50201
210.5-02 Amended 50201
210.5-03 Heading and (a) revised; (b) amended 50202
210.5-04 (a)(2) and Schedule I revised 50202
210.6-03 (c)(1) introductory text revised; (c)(1)(i) removed 50202
210.6-04 Amended 50202
210.6-07 Introductory text revised 50202
210.6-09 Amended 50202
210.6A-04 Heading and introductory text revised 50203
210.6A-05 (a) introductory text and Schedule III revised 50203
210.7-03 (a) amended 50203

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210.7-04 Heading and introductory text revised; section amended 50203
210.7-05 (a)(2), Schedule II, and Schedule III revised 50203
210.8-01 Note 2 amended; Note 6 removed 50204
210.8-02 Revised 50204
210.8-03 Introductory text, (a)(2), (b)(4), and (5) revised; (a)(5) added; (b)(2) and (6) removed; Instruction 1 amended 50204
210.8-04 (b)(3) revised 50204
210.8-05 (b)(1) and (2) revised 50204
210.8-06 Introductory text revised 50204
210.9-03 Amended 50205
210.9-04 Heading and introductory text revised; section amended 50205
210.9-05 (b)(2) revised 50205
210.9-06 Revised 50205
210.10-01 (a)(3), (5), (7), (b)(1), (2), (3), (6), (7), (8), (c)(2), (4), and (d) revised; (b)(4) and (5) removed 50205
210.11-02 (b)(1), (3), (5), (6), (7), (c)(2), (3), and (4) revised; instructions amended 50206
210.11-03 (a) introductory text and (2) revised 50208
210.12-16 Footnotes 4 and 5 revised 50208
210.12-17 Footnote 2 revised 50208
210.12-18 Footnote 1 revised 50208
210.12-21 Footnote 4 revised 50208
210.12-22 Footnotes 1, 4, and 6 amended 50208
210.12-23 Footnotes 9 and 12 revised 50208
210.12-24 Table amended; footnotes 5 and 8 revised 50208
210.12-27 Footnote 3 revised 50208
210.12-28 Table and footnote 4 amended 50208
210.12-29 Footnote 6 amended 50209
227 Authority citation revised 47836, 52964
227.202 (c) added (temporary); interim 47836
227.202 (d) added; interim (temporary) 52964
229.10 (f)(1) and (2) revised 32018
229.10 (b)(2) and (e)(2)(i) revised 50209
229.101 (b), (c)(1)(xi), (d), and (h)(4)(x) removed; (e) introductory text, (2), (3), and (h)(5)(iii) revised 50209
229.201 (a)(1) revised; (a)(2)(i) and (c)(1) removed; instructions amended 50209
229.302 (a)(1) and (3) revised; instructions amended 50210
229.303 (a) introductory text and (b)(2) revised; instructions amended 50210
229.406 (d) revised 50211
229.503 Heading revised; (d) and (e) removed 50211
229.504 Instructions amended 50211
229.508 (e) introductory text revised 50211
229.512 (a)(4) revised 50211
229.601 (a) table amended; (b)(100) removed; (b)(101) revised 40873
229.601 (a) table amended; (b)(11), (19), (22), (26), and (c) removed; (b)(14) revised 50211
229.1010 (a)(2) and (b)(2) revised; (a)(3) and (c)(4) removed 50211
229.1118 (b)(2) revised 50211
230.144 (c)(1)(ii) revised; Note amended 40873
230.158 (a) concluding text redesignated as (a) Note 1; (a)(1) introductory text and new Note 1 revised 50212
230.257 (f) added (temporary); interim 47836
230.257 (g) added; interim (temporary) 52964
230.405 Amended 32019, 50212
230.436 (d)(4) revised 50212
230.485 (c)(3) revised 40874
230.497 (c) and (e) amended 40874
230.498 (b)(1)(v) revised; (b)(1)(vi) and (vii) added 29204
230.498 (b)(1)(v)(A) and (f)(2) amended; eff. 1-1-21 29204
230.498 (b)(1)(vii) removed; eff. 1-1-22 29204
230.701 (e) introductory text revised 34944
232.11 Amended 40874
232.201 (b) and (c) revised 40874
232.202 (a) introductory text, (2), (b)(2), (3), (c)(1), (2) introductory text, (d)(1), (2), Note 3, and Note 4 revised; (c)(3) removed 40874

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232.301 Revised 22192, 33120
232.301 (a)(1)(xxi) added.....38910
232.305 (b) revised.....40875
232.314—232.401 Undesignated center heading revised 40875
232.401 Removed.....40875
232.402 Removed.....40875
232.405 Preliminary Notes 1, 2, 3, and (a)(4) removed; (a)(3) redesignated as new (a)(4); heading, (a) heading, (1), (2), new (4), (d) introductory text, (e) introductory text, (f), and note revised; introductory text and new (a)(3) added 40875
239.11 Form S-1 amended.....32020, 50212
239.13 Form S-3 amended.....32020, 50212
239.13 (a)(7)(ii) revised; Form S-3 amended 40877
239.14 Form N-2 amended 29207, 50233
239.14 Form N-2 amended; eff. 1-1-22 29207
239.15A Form N-1A amended.....29206, 40880, 50232
239.15A Form N-1A amended; eff. 1-1-22.....29207
239.16b Form S-8 amended 32020
239.16b (b)(2) revised; Form S-8 amended 40877
239.17a Form N-3 amended 29207, 50233
239.17a Form N-3 amended; eff. 1-1-22 29208
239.17b Form N-4 amended 29208, 50233
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239.17c Form N-6 amended.....29208, 50234
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239.18 Form S-11 amended 32020, 50213
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239.33 Form F-3 amended.....50214
239.34 Form F-4 amended.....50215
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239.92 Form 1-SA amended.....50220
240.3a1-1 revised.....38911
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240.13a-10 (b) and (g)(3) revised 50221
240.13b2-2 (b)(2)(i) and (ii) revised 50222
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240.15d-2 (a) revised.....50222
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240.15c2-12 (b)(5)(i)(C)(*14*) amended; (b)(5)(i)(C)(*15*), (*16*), and (f)(11) added 44742
240.17a-5 (d)(2)(i) Note 1 added 50223
240.17a-12 (b)(2) Note 1 added 50223
240.17g-3 (a)(1)(i) amended 50223
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242.300 (f) introductory text, (2), and (3) revised; (k) added.....38911
242.301 (a)(5), (b)(2)(i), (vii), (9)(i), (ii), (10) heading, (i) introductory text, and (ii) revised; (b)(2)(viii) added 38911
242.303 (a) introductory text and (2)(ii) amended; (a)(1)(v) added 38911
242.304 Added 38911
249.210 Form 10 amended 32022
249.210 Heading revised 50223
249.220f Form 20-F amended.....40878, 50223
249.240f Form 40-F amended.....40878, 50225
249.306 Form 6-K amended 40879
249.308a Form 10-Q amended 32022
249.310 Form 10-K amended.....32022, 40880, 50225
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249.1100 Form MSD amended 22193
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274.5 Form N-5 amended 50232
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274.11b Form N-3 amended 29207, 50233
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274.11c Form N-4 amended.....29208, 50233
274.11c Form N-4; eff. 1-1-22.....29208
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40 Policy statement....17913, 27505, 36727, 53992
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1304.101 Heading, (a), (b), and (d) revised; (c) introductory text, (1), (2), (e), and (f) amended; (g) added.....44473
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