

## Securities and Exchange Commission

Pt. 249b

### **§ 249.1600c Form SBSE-C, for certification by security-based swap dealers and major security-based swap participants.**

This form shall be used to file required certifications on Form SBSE-C pursuant to § 240.15Fb2-1(a) of this chapter.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SBSE-C, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

### **§ 249.1601 Form SBSE-W, for withdrawal from registration as a security-based swap dealer or major security-based swap participant or to amend such an application for registration.**

This form shall be used to withdraw from registration as a security-based swap dealer or major security-based swap participant, pursuant to Section 15F(b) of the Securities Exchange Act of 1934 (15 U.S.C. 78o-10(b)).

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SBSE-W, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

## **Subpart R—Forms for Registration of, and Filings by, Security-Based Swap Execution Facilities**

SOURCE: 88 FR 87316, Dec. 15, 2023, unless otherwise noted.

### **§ 249.1701 Form SBSEF, for application for registration as a security-based swap execution facility or to amend such application or registration.**

This form shall be used for application for registration as a security-based swap execution facility, pursuant to section 3D of the Securities Exchange Act of 1934 (15 U.S.C. 78c-4) and § 242.803 of this chapter, or to amend such application or registration.

### **§ 249.1702 Submission cover sheet, for rule and product submissions.**

This submission cover sheet shall be used by registered security-based swap execution facilities for making submis-

sions pursuant to §§ 242.804 through 242.807, 242.809, and 242.816).

## **Subpart S [Reserved]**

## **Subpart T—Form SCI, for filing notices and reports as required by Regulation SCI.**

### **§ 249.1900. Form SCI, for filing notices and reports as required by Regulation SCI.**

Form SCI shall be used to file notices and reports as required by Regulation SCI (§§ 242.1000 through 242.1007).

[79 FR 72440, Dec. 5, 2014]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SCI, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

## **Subpart U—Forms for Registration of Funding Portals**

### **§ 249.2000 Form Funding Portal.**

This form shall be used for filings by funding portals under Regulation Crowdfunding (part 227 of this chapter).

[80 FR 71570, Nov. 16, 2015]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form Funding Portal, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

## **PART 249a—FORMS, SECURITIES INVESTOR PROTECTION ACT OF 1970 [RESERVED]**

## **PART 249b—FURTHER FORMS, SECURITIES EXCHANGE ACT OF 1934**

Sec.

249b.1-249b.99 [Reserved]

249b.100 Form TA-1, uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.

249b.102 Form TA-2, form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

## §§ 249b.1–249b.99

249b.200 Form CA–1, form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and §240.17g–1 of this chapter.

249b.400 Form SD, specialized disclosure report.

AUTHORITY: 15 U.S.C. 78a *et seq.*, unless otherwise noted;

Sections 249b.100 and 249b.102 also issued under secs. 17, 17A and 23(a); 48 Stat. 897, as amended, 89 Stat. 137, 141 and 48 Stat. 901 (15 U.S.C. 78q, 78q–1, 78w(a)).

Section 249b.400 is also issued under secs. 1502 and 1504, Pub. L. 111–203, 124 Stat. 2213 and 2220.

## §§ 249b.1–249b.99 [Reserved]

### § 249b.100 Form TA–1,<sup>1</sup> uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

This form shall be used for application for registration as a transfer agent and for amendment to registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 51184, Nov. 4, 1975, as amended at 51 FR 12127, Apr. 9, 1986; 73 FR 32228, June 5, 2008]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA–1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

### § 249b.101 Form TA–W, notice of withdrawal from registration as transfer agent.

This form shall be used for withdrawing, pursuant to section 17A of the Securities Exchange Act of 1934, the registration of transfer agents registered with the Commission.

(Secs. 2, 17, 17A and 23(a); (15 U.S.C. 78b, 78a, 78a–1 and 78w(a)))

[42 FR 44984, Sept. 8, 1977]

<sup>1</sup>Copies of the form may be obtained from the Publications Section, Securities and Exchange Commission, 100 F Street, NE., Washington, DC 20549 and from each of the Commission's regional offices.

## 17 CFR Ch. II (4–1–24 Edition)

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA–W, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

### § 249b.102 Form TA–2,<sup>1</sup> form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

This form shall be used on an annual basis for registered transfer agents for reporting their business activities.

[51 FR 12134, Apr. 9, 1986, as amended at 73 FR 32228, June 5, 2008]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA–2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

### § 249b.200 Form CA–1,<sup>1</sup> form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

This form shall be used for application for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 52359, Nov. 10, 1975, as amended at 51 FR 12134, Apr. 9, 1986; 73 FR 32228, June 5, 2008]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form CA–1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

### § 249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and §240.17g–1 of this chapter.

This Form shall be used for an initial application for and an application to add a class of credit ratings to, a supplement to an initial application for and an application to add a class of

credit ratings to, an update and amendment to an application for, and a withdrawal from a registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 (15 U.S.C. 78o-7) and §240.17g-1 of this chapter.

[72 FR 33624, June 18, 2007]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form NRSRO, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

**§ 249b.400 Form SD, specialized disclosure report.**

(a) This Form shall be filed pursuant to §240.13p-1 of this chapter by registrants that file reports with the Commission pursuant to Sections 13(a) or 15(d) of the Securities Exchange Act of 1934 and are required to disclose the information required by Section 13(p) under the Securities Exchange Act of 1934 and Rule 13p-1 (§240.13p-1) of this chapter.

(b) This Form shall be filed pursuant to Rule 13q-1 (§240.13q-1) of this chapter by resource extraction issuers that are required to disclose the information required by Section 13(q) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(q)) and Rule 13q-1 of this chapter.

[77 FR 56362, Sept. 12, 2012, as amended at 77 FR 56418, Sept. 12, 2012]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SD, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.govinfo.gov](http://www.govinfo.gov).

**PART 250—CROSS-BORDER ANTI-FRAUD LAW-ENFORCEMENT AUTHORITY**

AUTHORITY: 15 U.S.C. 77s, 77v(c), 78w, 78aa(b), 80b-11, and 80b-14(b).

SOURCE: 79 FR 47372, Aug. 12, 2014, unless otherwise noted.

**§ 250.1 Cross-border antifraud law-enforcement authority.**

(a) Notwithstanding any other Commission rule or regulation, the anti-fraud provisions of the securities laws apply to:

(1) Conduct within the United States that constitutes significant steps in furtherance of the violation; or

(2) Conduct occurring outside the United States that has a foreseeable substantial effect within the United States.

(b) The antifraud provisions of the securities laws apply to conduct described in paragraph (a)(1) of this section even if:

(1) The violation relates to a securities transaction or securities transactions occurring outside the United States that involves only foreign investors; or

(2) The violation is committed by a foreign adviser and involves only foreign investors.

(c) Violations of the antifraud provisions of the securities laws described in this section may be pursued in judicial proceedings brought by the Commission or the United States.

**PARTS 251–254 [RESERVED]**

**PART 255—PROPRIETARY TRADING AND CERTAIN INTERESTS IN AND RELATIONSHIPS WITH COVERED FUNDS**

**Subpart A—Authority and Definitions**

Sec.

255.1 Authority, purpose, scope, and relationship to other authorities

255.2 Definitions.

**Subpart B—Proprietary Trading**

255.3 Prohibition on proprietary trading.

255.4 Permitted underwriting and market making-related activities.

255.5 Permitted risk-mitigating hedging activities.

255.6 Other permitted proprietary trading activities.

255.7 Limitations on permitted proprietary trading activities.

255.8-255.9 [Reserved]

**Subpart C—Covered Fund Activities and Investments**

255.10 Prohibition on acquiring or retaining an ownership interest in and having certain relationships with a covered fund.

255.11 Permitted organizing and offering, underwriting, and market making with respect to a covered fund.