

Part 201, Subpt. D, Table III

17 CFR Ch. II (4-1-01 Edition)

New rules (17 CFR 201)	Former rules/Act §
450(a)	17(e).
450(b)	18, 17 CFR 240.19d-3(c)-(g).
450(c)	22(d).
451	21.
452	21(d).
460	20, 21(c).
470	21(e).
490	23(e).
500	none.
510	none.
511	none.
512	none.
513	none.
514	none.
520	none.
521	none.
522	none.
524	none.
530	19.
531	none.
540	none.
550	17 CFR 202.8.
600	none.
601	none.
610	none.
611	none.
612	none.
613	none.
614	none.
620	none.
630	none.
900	none.

Former rules	New rules (17 CFR 201)
12(c)	401.
12(d)	155.
13	161.
14(a)	320, 325, 326.
14(b)	232(a)-(d).
14(b)(2), (c)	232(e)-(f).
14(d)	323.
15(a)-(e)	233.
15(f)	235.
15(g)	234.
16(a)	360(b).
16(b)	360(a).
16(c) [reserved]	n/a.
16(d)-(e)	340.
16(f)	351, 360(c).
16(g)	111.
17(a)	410(a).
17(b)	410(b).
17(c)	411(c).
17(d)	411(b), (e).
17(e)	450(a), (d).
17(f)	360(d), (e).
17(g)	411(d), (a), (f).
17(h)	410(e).
18	450(b).
19	530.
20(a)-(b)	350, 351, 460.
20(c)	302(c).
20(d)	152(f).
21	451.
21(c)	460.
21(d)	452.
21(e)	470.
22(a)	151(a)-(c), 152.
22(b) [reserved]	n/a.
22(c)	152(d).
22(d)	152(e), 450(c).
22(e)-(g)	152(a)-(c).
22(h)	140(a).
22(i)	none.
22(j), (k)	160, 140(c).
22(k)	140(b).
23(a)	150(a).
23(b)	150(c), 160.
23(c)	150(d).
23(d)	141(b).
23(e)	490.
24	17 CFR 228.10(f), 17 CFR 229.10(d).
25	190.
25(d)	302(b).
26(a), (c)	430.
26(b)	431(b).
26(d)	431(c).
26(e)	431(d)-(f).
27	191.
28	191.
29	193.
17 CFR 202.8	550.
17 CFR 240.19d-2	401(a)-(b), (d).
17 CFR 240.19d-3(a)	420, 421.
17 CFR 240.19d-3(b)	420(a), (b), (d).
17 CFR 240.19d-3(c)-(d)	450, 180(c).
17 CFR 240.19d-3(e)	452.
17 CFR 240.19d-3(f)	451.
17 CFR 240.19d-3(g)	100.

TABLE III TO SUBPART D—CROSS-REFERENCE TABLE SHOWING LOCATION OF FORMER RULES OF PRACTICE AND RELATED RULES WITH RULES OF PRACTICE ADOPTED IN 1995

Former rules	New rules (17 CFR 201)
1	100.
2	102.
2(d), (h)	150(b).
2(f) [reserved]	180(a).
3 [reserved]	n/a.
4	192.
5	104.
6(a)	200(b).
6(a), (b), (f)	141(a).
6(a), (b)	200(a)(1).
6(b)	200(c).
6(c), (d)	200(d), (e).
6(e)	221(f), 310.
6(f)	200(a)(2).
7(a)-(e)	220.
7(f)	153.
8(a)	240.
8(b)-(c)	202.
8(d)	221, 222(a).
9	210.
10	201.
11(a)-(b)	300.
11(b)	110, 301.
11(c)	112.
11(d), (e)	111.
11(e)	154, 250, 321(a).
11(f)	302(a).
11-1	231(a).
12(a)	400.
12(b)	151(c).

Subpart E—Adjustment of Civil Monetary Penalties

AUTHORITY: Pub. L. 104-134, 110 Stat. 1321.

**Securities and Exchange Commission**

**Part 201, Subpt. E, Table I**

SOURCE: 61 FR 57774, Nov. 8, 1996, unless otherwise noted.

**§ 201.1002 Adjustment of civil monetary penalties—2001.**

**§ 201.1001 Adjustment of civil monetary penalties—1996.**

As required by the Debt Collection Improvement Act of 1996, the maximum amounts of all civil monetary penalties under the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Company Act of 1940, and the Investment Advisers Act of 1940 are adjusted for inflation in accordance with Table I to this subpart. The adjustments set forth in Table I apply to violations occurring after December 9, 1996 and before February 2, 2001.

As required by the Debt Collection Improvement Act of 1996, the maximum amounts of all civil monetary penalties under the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Company Act of 1940, and the Investment Advisers Act of 1940 are adjusted for inflation in accordance with Table II to this subpart. The adjustments set forth in Table II apply to violations occurring after February 2, 2001.

[66 FR 8762, Feb. 2, 2001]

[66 FR 8762, Feb. 2, 2001]

**TABLE 1 TO SUBPART E—CIVIL MONETARY PENALTY INFLATION ADJUSTMENTS**

U.S. code citation	Civil monetary penalty description	Year penalty amount was last set by law	Original statutory maximum penalty amount	Adjusted maximum penalty amount	
SECURITIES AND EXCHANGE COMMISSION: 15 USC 77t(d)	FOR NATURAL PERSON .....	1990	\$5,000	\$5,500	
	FOR ANY OTHER PERSON .....	1990	50,000	55,000	
	FOR NATURAL PERSON/FRAUD .....	1990	50,000	55,000	
	FOR ANY OTHER PERSON/FRAUD .....	1990	250,000	275,000	
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	100,000	110,000	
	FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.	1990	500,000	550,000	
	15 USC 78ff(b)	EXCHANGE ACT/FAILURE TO FILE INFORMATION DOCUMENTS, REPORTS.	1936	100	110
	15 USC 78ff(c)(1)(B).	FOREIGN CORRUPT PRACTICES—ANY ISSUER .....	1988	10,000	11,000
	15 USC 78ff(c)(2)(C).	FOREIGN CORRUPT PRACTICES—ANY AGENT OR STOCKHOLDER ACTING ON BEHALF OF ISSUER.	1988	10,000	11,000
	15 USC 78u-1(a)(3).	INSIDER TRADING—CONTROLLING PERSONS .....	1988	1,000,000	1,100,000
	15 USC 78u-2	FOR NATURAL PERSON .....	1990	5,000	5,500
		FOR ANY OTHER PERSON .....	1990	50,000	55,000
		FOR NATURAL PERSON/FRAUD .....	1990	50,000	55,000
		FOR ANY OTHER PERSON/FRAUD .....	1990	250,000	275,000
		FOR NATURAL PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAINS TO SELF.	1990	100,000	110,000
		FOR ANY OTHER PERSONS/SUBSTANTIAL LOSSES TO OTHERS/GAIN TO SELF.	1990	500,000	550,000
	15 USC 78u(d)(3).	FOR NATURAL PERSON .....	1990	5,000	5,500
		FOR ANY OTHER PERSON .....	1990	50,000	55,000
		FOR NATURAL PERSON/FRAUD .....	1990	50,000	55,000
		FOR ANY OTHER PERSON/FRAUD .....	1990	250,000	275,000
FOR NATURAL PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.		1990	100,000	110,000	
FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES OR RISK OF LOSSES TO OTHERS.		1990	500,000	550,000	
15 USC 80a-9(d).	FOR NATURAL PERSON .....	1990	5,000	5,500	
	FOR ANY OTHER PERSON .....	1990	50,000	55,000	
	FOR NATURAL PERSON/FRAUD .....	1990	50,000	55,000	
	FOR ANY OTHER PERSON/FRAUD .....	1990	250,000	275,000	
	FOR NATURAL PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAINS TO SELF.	1990	100,000	110,000	