

Securities and Exchange Commission

Part 201, Subpt. E, Table I

| Former rules | New rules (17 CFR 201) |
|------------------|------------------------|
| 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). |
| 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). |

| Former rules | New rules (17 CFR 201) |
|-------------------------|-------------------------------------|
| 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. |

Subpart E—Adjustment of Civil Monetary Penalties

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

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

§ 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.

[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: | | | | |

Part 201, Subpt. E, Table I

17 CFR Ch. II (4-1-03 Edition)

| 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 |
|-----------------------|--|---|---|---------------------------------|
| 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 |
| | FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES TO OTHER/GAINS TO SELF. | 1990 | 500,000 | 550,000 |
| 15 USC 80a-41(e). | 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 80b-3(i). | 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/GAIN TO SELF. | 1990 | 100,000 | 110,000 |
| | FOR ANY OTHER PERSON/SUBSTANTIAL LOSSES TO OTHERS/GAIN TO SELF. | 1990 | 500,000 | 550,000 |
| 15 USC 80b-9(e). | 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 |