

## § 249.325

### **§ 249.325 Form 13F, report of institutional investment manager pursuant to section 13(f) of the Securities Exchange Act of 1934.**

This form shall be used by institutional investment managers which are required to furnish reports pursuant to section 13(f) of the Securities Exchange Act of 1934. (15 U.S.C. 78m(f)) and Rule 13f-1 thereunder (§240.13f-1 of this chapter).

[43 FR 26705, June 22, 1978]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 13F, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.328T Form 17-H, Risk assessment report for brokers and dealers pursuant to section 17(h) of the Securities Exchange Act of 1934 and rules thereunder.**

This form shall be used by brokers and dealers in reporting information to the Commission concerning certain of their associated persons pursuant to section 17(h) of the Securities Exchange Act of 1934 [15 U.S.C. 78q(h)] and Rules 17h-1T and 17h-2T thereunder [§§240.17h-1T and 240.17h-2T of this chapter].

[57 FR 32171, July 21, 1992]

### **§ 249.330 Form N-SAR, annual and semi-annual report of certain registered investment companies.**

This form shall be used by registered unit investment trusts and small business investment companies for semi-annual or annual reports to be filed pursuant to §270.30a-1 or §270.30b1-1 of this chapter in satisfaction of the requirement of section 30(a) of the Investment Company Act of 1940 that every registered investment company must file annually with the Commission such information, documents, and reports as investment companies having securities registered on a national securities exchange are required to file annually pursuant to section 13(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78m) and the rules and regulations thereunder.

[68 FR 5364, Feb. 3, 2003]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form N-SAR, see the List

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of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.331 Form N-CSR, certified shareholder report.**

This form shall be used by registered management investment companies to file reports pursuant to §270.30b2-1(a) of this chapter not later than 10 days after the transmission to stockholders of any report that is required to be transmitted to stockholders under §270.30e-1 of this chapter.

[68 FR 5364, Feb. 3, 2003]

### **§ 249.444 Form SE, form for submission of paper format exhibits by electronic filers.**

This form shall be used by an electronic filer for the submission of any paper format document relating to an otherwise electronic filing, as provided in Rule 311 of Regulation S-T (§232.311 of this chapter).

[58 FR 14686, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SE, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.445 Form ET, transmittal form for electronic format documents on magnetic tape or diskette to be filed on the EDGAR system.**

This form shall accompany electronic filings submitted on magnetic tape or diskette under the EDGAR system.

[57 FR 18219, Apr. 29, 1992]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ET, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### **§ 249.446 Form ID, uniform application for access codes to file on EDGAR.**

(a) Form ID is to be used by registrants, third party filers, or their agents for the purpose of requesting assignment of access codes to permit filing on EDGAR, as follows:

(1) Central Index Key (CIK)—uniquely identifies each filer, filing agent, and training agent.

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(2) **CIK Confirmation Code (CCC)**—used in the header of a filing in conjunction with the CIK of the filer to ensure that the filing has been authorized by the filer.

(3) **Password (PW)**—allows a filer, filing agent or training agent to log on to the EDGAR system, submit filings, and change its CCC.

(4) **Password Modification Authorization Code (PMAC)**—allows a filer, filing agent or training agent to change its Password.

(b) Form ID also may be used for the purpose of requesting a reassignment of their CCC, PW and PMAC.

[57 FR 18219, Apr. 29, 1992]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ID, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### § 249.447 **Form TH—Notification of reliance on temporary hardship exemption.**

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by Rule 201(a) of Regulation S-T (§ 232.201(a) of this chapter).

[58 FR 14686, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TH, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### Subpart E—Forms for Statements Made in Connection With Exempt Tender Offers

SOURCE: 64 FR 61406, Nov. 10, 1999, unless otherwise noted.

#### § 249.480 **Form CB, tender offer statement in connection with a tender offer for a foreign private issuer.**

This form is used to report an issuer tender offer conducted in compliance with § 240.13e-4(h)(8) of this chapter and a third-party tender offer conducted in compliance with § 240.14d-1(c) of this chapter. This report also is used by a

subject company pursuant to § 240.14e-2(d) of this chapter.

[64 FR 61406, Nov. 10, 1999]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form CB, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

### Subpart F—Forms for Registration of Brokers and Dealers Transacting Business on Over-the-Counter Markets

#### § 249.501 **Form BD, for application for registration as a broker and dealer or to amend or supplement such an application.**

(a) This form shall be used for application for registration as a broker-dealer under the Securities Exchange Act of 1934, or to amend such application.

(b) Interim Form BD shall be used for application for registration as broker-dealer under the Securities Exchange Act of 1934, or to amend such application, only by order of the Commission. In the event broker-dealers are required to comply with their filing obligations on Interim Form BD, the form will be made available at the Commission's Publication Office at (202) 942-4040.

[33 FR 18995, Dec. 20, 1968; 34 FR 554, Jan. 15, 1969, as amended at 64 FR 42596, Aug. 5, 1999]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form BD, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

#### § 249.501a **Form BDW, notice of withdrawal from registration as broker-dealer pursuant to § 240.15b6-1, § 240.15Bc3-1, or § 240.15Cc1-1 of this chapter.**

(a) This form shall be used for filing a notice of withdrawal as broker-dealer pursuant to Rule 15b6-1 (§ 240.15b6-1 of this chapter), Rule 15Bc3-1 § 240.15B3-1 of this chapter), or Rule 15Cc1-1 (§ 240.15Cc1-1 of this chapter). Under sections 15(b), 15B, 15C, 17(a), and 23(a) of the Securities Exchange Act of 1934 (17 CFR part 240), and the rules and regulations thereunder, the Commission is authorized to solicit the information required to be supplied by this