

(Approved by the Office of Management and Budget under control number 3235-0306)

[49 FR 27310, July 3, 1984]

PART 259—FORMS PRESCRIBED UNDER THE PUBLIC UTILITY HOLDING COMPANY ACT OF 1935

Sec.

259.0-1 Availability of forms.

Subpart A—Forms for Registration and Annual Supplements

259.5a Form U5A, for notification of registration filed under section 5(a) of the Act.

259.5b Form U5B, for registration statement filed under section 5(b) of the Act.

259.5s Form U5S, for annual reports filed under section 5(c) of the Act.

Subpart B—Forms for Applications and Declarations

259.101 Form U-1, application or declaration under the Public Utility Holding Company Act of 1935.

259.113 Form U-13-1, for applications for approval of mutual service companies pursuant to Rule 88 (§250.88 of this chapter).

Subpart C—Forms for Statements and Reports

259.206 Form U-6B-2, for notification of security issues exempt under section 6(b) of the Act.

259.207 Form U-57, for notification of foreign utility company status pursuant to Rule 57(a) (§250.57 of this chapter).

259.208 Form U-9C-3, for notification of acquisition of securities exempt from section 9(a) pursuant to rule 58 (§250.58 of this chapter).

259.212a Form U-12(I)-A, for statement of activity within scope of section 12(i) of the Act, pursuant to Rule 71(a) (§250.71(a) of this chapter).

259.212b Form U-12(I)-B, for advance statement of activity within scope of section 12(i) of the Act pursuant to Rule 71(b) (§250.71(b) of this chapter).

259.213 Form U-13E-1, for report by affiliate companies and independent service companies pursuant to Rule 95 (§250.95 of this chapter).

259.221 Form U-R-1, for solicitations pursuant to Rule 62 (§250.62 of this chapter), in connection with reorganizations.

Subpart D—Forms for Periodic Accounting Reports

259.313 Form U-13-60, for annual reports pursuant to Rule 94 (§250.94 of this chap-

ter) by mutual and subsidiary service companies required by section 13 of the Act.

Subpart E—Forms for Statements and Reports From Nonregistered (Exempt) Companies

259.402 Form U-3A-2, for annual reports pursuant to Rule 2 (§250.2 of this chapter) for exempt holding companies which are intrastate or predominantly operating companies.

259.403 Form U-3A3-1, for annual reports pursuant to Rule 3 (§250.3 of this chapter) for banks which are exempt holding companies.

259.404 Certificate to be filed pursuant to §250.7(d) of this chapter.

259.405 Form U-33-S, for annual reports pursuant to Rule 57(b) (§250.57 of this chapter).

Subpart F—Forms for Amendments [Reserved]

Subpart G—Forms for Electronic Filing

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

259.602 Form ID, uniform application for access codes to file on EDGAR.

259.603 Form SE, form for submission of paper format exhibits by electronic filers.

259.604 Form TH—Notification of reliance on temporary hardship exemption.

AUTHORITY: 15 U.S.C. 79e, 79f, 79g, 79j, 79l, 79m, 79n, 79q, 79t.

SOURCE: 33 FR 19001, Dec. 20, 1968, unless otherwise noted.

§ 259.0-1 Availability of forms.

(a) This part identifies and describes the forms prescribed for use under the Public Utility Holding Company Act of 1935.

(b) Any person may obtain a copy of any form prescribed for use in this part by written request to the Securities and Exchange Commission, 450 Fifth Street, NW., Washington, DC 20549. Any person may inspect the forms at this address and at the Commission's regional and district offices. (See §200.11 of this chapter for the addresses of SEC regional and district offices)

[46 FR 17757, Mar. 20, 1981, as amended at 47 FR 26820, June 22, 1982; 59 FR 5946, Feb. 9, 1994]