

PART 279—FORMS PRESCRIBED UNDER THE INVESTMENT ADVISERS ACT OF 1940

Sec.

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279.9 Form ADV-Y2K.

AUTHORITY: The Investment Advisers Act of 1940, 15 U.S.C. 80b-1, *et seq.*

SOURCE: 33 FR 19005, Dec. 20, 1968, unless otherwise noted.

§ 279.0-1 Availability of forms.

(a) This part identifies and describes the forms prescribed for use under the Investment Advisers Act of 1940.

(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]

§ 279.1 Form ADV, for application for registration of investment adviser and for amendments to such registration statement.

This form shall be filed pursuant to Rule 203-1 (§ 275.203-1 of this chapter) as an application for registration of an investment adviser pursuant to sections 203(c) or 203(g) of the Investment Advisers Act of 1940, and also as an amendment to registration pursuant to Rule 204-1 (§ 275.204-1 of this chapter).

[44 FR 21008, Apr. 9, 1979]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ADV, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.2 Form ADV-W, notice of withdrawal from registration as investment adviser.

This form shall be filed pursuant to Rule 203-2 (§ 275.203-2 of this chapter) by a registered investment adviser as a notice of withdrawal from registration as such under the Investment Advisers Act of 1940.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ADV-W, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.3 [Reserved]

§ 279.4 Form 4-R, irrevocable appointment of agent for service of process, pleadings and other papers by individual nonresident investment adviser.

This form shall be filed pursuant to Rule 0-2 (§ 275.0-2 of this chapter) by each individual nonresident investment adviser who is registered or applying for registration with the Commission as an investment adviser.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 4-R, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.5 Form 5-R, irrevocable appointment of agent for service of process, pleadings and other papers by corporation nonresident investment adviser.

This form shall be filed pursuant to Rule 0-2 (§ 275.0-2 of this chapter) by

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each corporation nonresident investment adviser, and by each unincorporated nonresident investment adviser not organized as a partnership, which is registered or applying for registration with the Commission as an investment adviser.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 5-R, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.6 Form 6-R, irrevocable appointment of agent for service of process, pleadings and other papers by partnership nonresident investment adviser.

This form shall be filed pursuant to Rule 0-2 (§275.0-2 of this chapter) by each partnership nonresident investment adviser which is registered or applying for registration with the Commission as an investment adviser.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 6-R, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.7 Form 7-R, irrevocable appointment of agent for service of process, pleadings and other papers by nonresident general partner of investment adviser.

This form shall be filed pursuant to Rule 0-2 (§275.0-2 of this chapter) by

each nonresident general partner of an investment adviser, and by each nonresident "managing agent" of an unincorporated investment adviser as defined in said Rule 0-2, which is registered or applying for registration with the Commission as investment adviser.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 7-R, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.8 Form ADV-E, cover page for certificate of accounting of securities and funds in possession or custody of an investment adviser.

[54 FR 32049, Aug. 4, 1989]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ADV-E, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 279.9 Form ADV-Y2K.

This form must be filed pursuant to §275.204-5 of this chapter by certain investment advisers.

[63 FR 54312, Oct. 8, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ADV-Y2K, see the List of CFR Sections Affected in the Finding Aids section of this volume.

PART 281—INTERPRETATIVE RELEASES RELATING TO CORPORATE REORGANIZATIONS UNDER CHAPTER X OF THE BANKRUPTCY ACT

Subject	Release No.	Date	Fed. Reg. Vol. and Page
Letter of the Commission with respect to transmission to the Commission of all petitions, answers, orders, applications, reports and other papers filed under Chapter X of the Bankruptcy Act.	1	Sept. 26, 1938 ..	11 FR 10997.
Statement by the Commission summarizing Chapter X of the Bankruptcy Act.	2do	11 FR 10998.

PART 285—RULES AND REGULATIONS PURSUANT TO SECTION 15(d) OF THE BRETON WOODS AGREEMENTS ACT

- Sec.
 - 285.1 Applicability of part.
 - 285.2 Periodic reports.
 - 285.3 Reports with respect to proposed distribution of primary obligations.
 - 285.4 Preparation and filing of reports.
- SCHEDULE A TO PART 285

AUTHORITY: Secs. 19, 23, 48 Stat. 85, as amended, 901, as amended, sec. 15, 63 Stat. 298; 15 U.S.C. 77s, 78w 22 U.S.C. 286k-1.

§ 285.1 Applicability of part.

This part (Regulation BW), prescribes the reports to be filed with the Securities and Exchange Commission by the International Bank for Reconstruction and Development pursuant to section