

**§ 259.0-1**

17 CFR Ch. II (4-1-11 Edition)

**Subpart F—Forms for Amendments  
[Reserved]**

**Subpart G—Forms for Electronic Filing**

- 259.601 [Reserved]
- 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]

**Subpart A—Forms for Registration  
and Annual Supplements**

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

This form shall be filed pursuant to Rule 1(a) (§ 250.1(a) of this chapter) for the notification required under section 5(a) of the Public Utility Holding Company Act of 1935 by every public utility holding company required to register under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.fdsys.gov](http://www.fdsys.gov).

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

This form shall be filed pursuant to Rule 1(b) (§ 250.1(b) of this chapter) for the registration statement required to be filed under section 5(b) of the Act by every public utility holding company required to register under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5B, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.fdsys.gov](http://www.fdsys.gov).

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

This form shall be filed pursuant to Rule 1(c) (§ 250.1(c) of this chapter) for the annual report required to be filed under section 14 of the Act by every registered public utility holding company.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5S, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.fdsys.gov](http://www.fdsys.gov).

**Subpart B—Forms for Applications  
and Declarations**

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

This form shall be used pursuant to Rule 20(c) (§ 250.20(c) of this chapter) by any person filing an application or declaration or amendment thereto pursuant to sections 6(b), 7, 9(c)(3), 10, 12(b), (c), (d), or (f) of the Public Utility Holding Company Act of 1935 or any rules and regulations under such sections, where no other form is authorized or prescribed.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U-1, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at [www.fdsys.gov](http://www.fdsys.gov).

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

This form shall be filed pursuant to Rule 88 (§ 250.88 of this chapter) for approval of a company as a mutual service company, by the company or person