

Securities and Exchange Commission

§ 200.800

Such waiver, modification or postponement may be granted if it is determined by the Chairman that such waiver, modification of postponement would not adversely affect the interest of the Commission or the United States. Any such waiver, modification or postponement granted by the Chairman shall be made available to the public. The Chairman may submit any request made pursuant to this rule to the Commission for its consideration. Any Commission action on such request shall be made public only in the discretion of the Commission. Requirements included in this part which implement any provision of Federal law, regulation or Executive Order generally applicable to the Executive Branch shall not be waived under this provision.

SOURCE: 67 FR 14634, Mar. 27, 2002, unless otherwise noted.

§ 200.800 OMB control numbers assigned pursuant to the Paperwork Reduction Act.

(a) *Purpose:* This subpart collects and displays the control numbers assigned to information collection requirements of the Commission by the Office of Management and Budget pursuant to the Paperwork Reduction Act of 1980, 44 U.S.C. 3500 *et seq.* This subpart displays current OMB control numbers for those information collection requirements of the Commission that are rules and regulations and codified in 17 CFR either in full text or incorporated by reference with the approval of the Director of the Office of the Federal Register.

(b) *Display.*

Subpart N—Commission Information Collection Requirements Under the Paperwork Reduction Act: OMB Control Numbers

AUTHORITY: 44 U.S.C. 3506; 44 U.S.C. 3507.

Information collection requirement	17 CFR part or section where identified and described	Current OMB control No.
Regulation S-X	Part 210	3235-0009
Regulation S-B	Part 228	3235-0417
Regulation S-K	Part 229	3235-0071
Rule 154	230.154	3235-0495
Rule 155	230.155	3235-0549
Rule 236	230.236	3235-0095
Rule 237	230.237	3235-0528
Regulation A	230.251 thru 230.263	3235-0286
Regulation C	230.400 thru 230.494	3235-0074
Rule 425	230.425	3235-0521
Rule 477	230.477	3235-0550
Rule 489	230.489	3235-0411
Rule 498	230.498	3235-0488
Regulation D	230.500 thru 230.508	3235-0076
Regulation E	230.601 thru 230.610a	3235-0232
Rule 604	230.604	3235-0232
Rule 605	230.605	3235-0232
Rule 609	230.609	3235-0233
Rule 701	230.701	3235-0522
Regulation S	230.901 thru 230.905	3235-0357
Regulation S-T	Part 232	3235-0424
Form SB-1	239.9	3235-0423
Form SB-2	239.10	3235-0418
Form S-1	239.11	3235-0065
Form S-2	239.12	3235-0072
Form S-3	239.13	3235-0073
Form N-2	239.14	3235-0026
Form N-1A	239.15A	3235-0307
Form S-6	239.16	3235-0184
Form S-8	239.16b	3235-0066
Form N-3	239.17a	3235-0316
Form N-4	239.17b	3235-0318
Form S-11	239.18	3235-0067
Form N-14	239.23	3235-0336

Information collection requirement	17 CFR part or section where identified and described	Current OMB control No.
Form N-5	239.24	3235-0169
Form S-4	239.25	3235-0324
Form F-1	239.31	3235-0258
Form F-2	239.32	3235-0257
Form F-3	239.33	3235-0256
Form F-4	239.34	3235-0325
Form F-6	239.36	3235-0292
Form F-7	239.37	3235-0383
Form F-8	239.38	3235-0378
Form F-9	239.39	3235-0377
Form F-10	239.40	3235-0380
Form F-80	239.41	3235-0404
Form F-X	239.42	3235-0379
Form F-N	239.43	3235-0411
Form ET	239.62	3235-0329
Form ID	239.63	3235-0328
Form SE	239.64	3235-0327
Form TH	239.65	3235-0425
Form 1-A	239.90	3235-0286
Form 2-A	239.91	3235-0286
Form 144	239.144	3235-0101
Form 1-E	239.200	3235-0232
Form CB	239.800	3235-0518
Rule 6a-1	240.6a-1	3235-0017
Rule 6a-3	240.6a-3	3235-0021
Rule 6a-4	240.6a-4	3235-0554
Rule 6h-1	240.6h-1	3235-0555
Rule 8c-1	240.8c-1	3235-0514
Rule 9b-1	240.9b-1	3235-0480
Rule 10a-1	240.10a-1	3235-0475
Rule 10b-10	240.10b-10	3235-0444
Rule 10b-17	240.10b-17	3235-0476
Rule 10b-18	240.10b-18	3235-0474
Rule 10A-1	240.10A-1	3235-0468
Rule 11a1-1(T)	240.11a1-1(T)	3235-0478
Rule 12a-5	240.12a-5	3235-0079
Regulation 12B	240.12b-1 thru 240.12b-36	3235-0062
Rule 12d1-3	240.12d1-3	3235-0109
Rule 12d2-1	240.12d2-1	3235-0081
Rule 12d2-2	240.12d2-2	3235-0080
Rule 12f-1	240.12f-1	3235-0128
Rule 13a-16	240.13a-16	3235-0116
Regulation 13D/G	240.13d-1 thru 240.13d-7	3235-0145
Schedule 13D	240.13d-101	3235-0145
Schedule 13G	240.13d-102	3235-0145
Rule 13e-1	240.13e-1	3235-0305
Rule 13e-3	240.13e-3	3235-0007
Schedule 13E-3	240.13e-100	3235-0007
Schedule 13e-4F	240.13e-101	3235-0375
Regulation 14A	240.14a-1 thru 240.14a-12	3235-0059
Schedule 14A	240.14a-101	3235-0059
Regulation 14C	240.14c-1	3235-0057
Schedule 14C	240.14c-101	3235-0057
Regulation 14D	240.14d-1 thru 240.14d-9	3235-0102
Schedule TO	240.14d-100	3235-0515
Schedule 14D-1	240.14d-101	3235-0102
Schedule 14D-9	240.14d-101	3235-0102
Schedule 14D-1F	240.14d-102	3235-0376
Schedule 14D-9F	240.14d-103	3235-0382
Regulation 14E	240.14e-1 thru 240.14e-2	3235-0102
Rule 14f-1	240.14f-1	3235-0108
Rule 15a-4	240.15a-4	3235-0010
Rule 15a-6	240.15a-6	3235-0371
Rule 15b1-1	240.15b1-1	3235-0012
Rule 15b6-1(a)	240.15b6-1(a)	3235-0018
Rule 15c1-5	240.15c1-5	3235-0471
Rule 15c1-6	240.15c1-6	3235-0472
Rule 15c1-7	240.15c1-7	3235-0134
Rule 15c2-1	240.15c2-1	3235-0485
Rule 15c2-5	240.15c2-5	3235-0198
Rule 15c2-7	240.15c2-7	3235-0479
Rule 15c2-8	240.15c2-8	3235-0481

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Rule 15c2-11	240.15c2-11	3235-0202
Rule 15c2-12	240.15c2-12	3235-0372
Rule 15c3-1	240.15c3-1	3235-0200
Rule 15c3-1(c)(13)	240.15c3-1(c)(13)	3235-0499
Appendix F to Rule 15c3-1	240.15c3-1f	3235-0496
Rule 15c3-3	240.15c3-3	3235-0078
Rule 15c3-4	240.15c3-4	3235-0497
Rule 15d-16	240.15d-16	3235-0116
Rule 15g-2	240.15g-2	3235-0434
Rule 15g-3	240.15g-3	3235-0392
Rule 15g-4	240.15g-4	3235-0393
Rule 15g-5	240.15g-5	3235-0394
Rule 15g-6	240.15g-6	3235-0395
Rule 15g-9	240.15g-9	3235-0385
Rule 15Aj-1	240.15Aj-1	3235-0044
Rule 15Ba2-1	240.15Ba2-1	3235-0083
Rule 15Ba2-5	240.15Ba2-5	3235-0088
Rule 15Bc3-1	240.15Bc3-1	3235-0087
Rule 17a-1	240.17a-1	3235-0208
Rule 17a-2	240.17a-2	3235-0201
Rule 17a-3	240.17a-3	3235-0033
Rule 17a-3(a)(16)	240.17a-3(a)(16)	3235-0508
Rule 17a-4	240.17a-4	3235-0279
Rule 17a-4(b)(10)	240.17a-4(b)(10)	3235-0506
Rule 17a-5	240.17a-5	3235-0123
Rule 17a-5(c)	240.17a-5(c)	3235-0199
Rule 17a-6	240.17a-6	3235-0489
Rule 17a-7	240.17a-7	3235-0131
Rule 17a-8	240.17a-8	3235-0092
Rule 17a-9T	240.17a-9T	3235-0524
Rule 17a-10	240.17a-10	3235-0122
Rule 17a-11	240.17a-11	3235-0085
Rule 17a-12	240.17a-12	3235-0498
Rule 17a-13	240.17a-13	3235-0035
Rule 17a-19	240.17a-19	3235-0133
Rule 17a-22	240.17a-22	3235-0196
Rule 17a-25	240.17a-25	3235-0540
Rule 17f-1(b)	240.17f-1(b)	3235-0032
Rule 17f-1(c)	240.17f-1(c)	3235-0037
Rule 17f-1(g)	240.17f-1(g)	3235-0290
Rule 17f-2(a)	240.17f-2(a)	3235-0034
Rule 17f-2(c)	240.17f-2(c)	3235-0029
Rule 17f-2(d)	240.17f-2(d)	3235-0028
Rule 17f-2(e)	240.17f-2(e)	3235-0031
Rule 17f-5	240.17f-5	3235-0269
Rule 17h-1T	240.17h-1T	3235-0410
Rule 17h-2T	240.17h-2T	3235-0410
Rule 17Ab2-1	240.17Ab2-1(a)	3235-0195
Rule 17Ac2-1	240.17Ac2-1	3235-0084
Rule 17Ad-2(c), (d), and (h)	240.17Ad-2(c), (d) and (h)	3235-0130
Rule 17Ad-3(b)	240.17Ad-3(b)	3235-0473
Rule 17Ad-4(b) and (c)	240.17Ad-4(b) and (c)	3235-0341
Rule 17Ad-6	240.17Ad-6	3235-0291
Rule 17Ad-7	240.17Ad-7	3235-0291
Rule 17Ad-10	240.17Ad-10	3235-0273
Rule 17Ad-11	240.17Ad-11	3235-0274
Rule 17Ad-13	240.17Ad-13	3235-0275
Rule 17Ad-15	240.17Ad-15	3235-0409
Rule 17Ad-16	240.17Ad-16	3235-0413
Rule 17Ad-17	240.17Ad-17	3235-0469
Rule 19b-1	240.19b-1	3235-0354
Rule 19b-4	240.19b-4	3235-0045
Rule 19b-4(e)	240.19b-4(e)	3235-0504
Rule 19b-5	240.19b-5	3235-0507
Rule 19b-7	240.19b-7	3235-0553
Rule 19d-1	240.19d-1(b) thru 240.19d-1(i)	3235-0206
Rule 19d-2	240.19d-2	3235-0205
Rule 19d-3	240.19d-3	3235-0204
Rule 19h-1	240.19h-1(a), (c) thru (e), and (g)	3235-0259
Rule 24b-1	240.24b-1	3235-0194
Rule 101	242.101	3235-0464
Rule 102	242.102	3235-0467

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Rule 103	242.103	3235-0466
Rule 104	242.104	3235-0465
Rule 301	242.301	3235-0509
Rule 302	242.302	3235-0510
Rule 303	242.303	3235-0505
Rule 604	242.604	3235-0462
Rule 605	242.605	3235-0542
Rule 606	242.606	3235-0541
Rule 607	242.607	3235-0435
Rule 608	242.608	3235-0500
Rule 609	242.609	3235-0043
Rule 611	242.611	3235-0600
Regulation S-P	Part 248	3235-0537
Form 1	249.1	3235-0017
Form 1-N	249.10	3235-0554
Form 25	249.25	3235-0080
Form 26	249.26	3235-0079
Form 3	249.103	3235-0104
Form 4	249.104	3235-0287
Form 5	249.105	3235-0362
Form 8-A	249.208a	3235-0056
Form 10	249.210	3235-0064
Form 10-SB	249.210b	3235-0419
Form 18	249.218	3235-0121
Form 20-F	249.220f	3235-0288
Form 40-F	249.240f	3235-0381
Form 6-K	249.306	3235-0116
Form 8-K	249.308	3235-0060
Form 10-Q	249.308a	3235-0070
Form 10-QSB	249.308b	3235-0416
Form 10-K	249.310	3235-0063
Form 10-KSB	249.310b	3235-0420
Form 11-K	249.311	3235-0082
Form 18-K	249.318	3235-0120
Form 12B-25	249.322	3235-0058
Form 15	249.323	3235-0167
Form 13F	249.325	3235-0006
Form SE	249.444	3235-0327
Form ET	249.445	3235-0329
Form ID	249.446	3235-0328
Form DF	249.448	3235-0482
Form BD	249.501	3235-0012
Form BDW	249.501a	3235-0018
Form BD-N	249.501b	3235-0556
Form X-17A-5	249.617	3235-0123
Form X-17A-19	249.635	3235-0133
Form ATS	249.637	3235-0509
Form ATS-R	249.638	3235-0509
Form X-15AJ-1	249.802	3235-0044
Form X-15AJ-2	249.803	3235-0044
Form 19b-4	249.819	3235-0045
Form 19b-4(e)	249.820	3235-0504
Form Pilot	249.821	3235-0507
Form SIP	249.1001	3235-0043
Form MSD	249.1100	3235-0083
Form MSDW	249.1110	3235-0087
Form X-17F-1A	249.1200	3235-0037
Form TA-1	249b.100	3235-0084
Form TA-W	249b.101	3235-0151
Form TA-2	249b.102	3235-0337
Form CA-1	249b.200	3235-0195
Rule 1(a)	250.1(a)	3235-0170
Rule 1(b)	250.1(b)	3235-0170
Rule 1(c)	250.1(c)	3235-0164
Rule 2	250.2	3235-0161
Rule 3	250.3	3235-0160
Rule 7	250.7	3235-0165
Rule 7(d)	250.7(d)	3235-0165
Rule 20(b)	250.20(b)	3235-0125
Rule 20(c)	250.20(c)	3235-0125
Rule 20(d)	250.20(d)	3235-0163
Rule 23	250.23	3235-0125

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Rule 24	250.24	3235-0126
Rule 26	250.26	3235-0183
Rule 29	250.29	3235-0149
Rule 44	250.44	3235-0147
Rule 45	250.45	3235-0154
Rule 47(b)	250.47(b)	3235-0163
Rule 52	250.52	3235-0369
Form 53	250.53	3235-0426
Rule 54	250.54	3235-0427
Rule 57(a)	250.57(a)	3235-0428
Rule 57(b)	250.57(b)	3235-0429
Rule 58	250.58	3235-0457
Rule 62	250.62	3235-0152
Rule 71(a)	250.71(a)	3235-0173
Rule 72	250.72	3235-0149
Rule 83	250.83	3235-0181
Rule 87	250.87	3235-0552
Rule 88	250.88	3235-0182
Rule 93	250.93	3235-0153
Rule 94	250.94	3235-0153
Rule 95	250.95	3235-0162
Rule 100(a)	250.100(a)	3235-0125
Uniform System of Accounts for Mutual Service Companies and Subsidiary Service Companies, Public Utility Holding Company Act of 1935.	Part 256	3235-0153
Preservation and Destruction of Records of Registered Public Utility Holding Companies and of Mutual and Subsidiary Service Companies.	Part 257	3235-0306
Form U5A	259.5a	3235-0170
Form U5B	259.5b	3235-0170
Form U5S	259.5s	3235-0164
Form U-1	259.101	3235-0125
Form U-13-1	259.113	3235-0182
Form U-6B-2	259.206	3235-0163
Form U-57	259.207	3235-0428
Form U-9C-3	259.208	3235-0457
Form U-12(I)-A	259.212a	3235-0173
Form U-12(I)-B	259.212b	3235-0173
Form U-13E-1	259.213	3235-0162
Form U-R-1	259.221	3235-0152
Form U-13-60	259.313	3235-0153
Form U-3A-2	259.402	3235-0161
Form U-3A3-1	259.403	3235-0160
Form U-7D	259.404	3235-0165
Form U-33-S	259.405	3235-0429
Form ET	259.601	3235-0329
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Rule 7a-15 thru 7a-37	260.7a-15 thru 260.7a-37	3235-0132
Form T-1	269.1	3235-0110
Form T-2	269.2	3235-0111
Form T-3	269.3	3235-0105
Form T-4	269.4	3235-0107
Form ET	269.6	3235-0329
Form ID	269.7	3235-0328
Form SE	269.8	3235-0327
Form T-6	269.9	3235-0391
Rule 0-1	270.0-1	3235-0531
Rule 2a-7	270.2a-7	3235-0268
Rule 2a19-1	270.2a19-1	3235-0332
Rule 3a-4	270.3a-4	3235-0459
Rule 6c-7	270.6c-7	3235-0276
Rule 6e-2	270.6e-2	3235-0177
Rule 7d-1	270.7d-1	3235-0311
Rule 7d-2	270.7d-2	3235-0527
Section 8(b) of the Investment Company Act of 1940	270.8b-1 thru 270.8b-32	3235-0176
Rule 10f-3	270.10f-3	3235-0226
Rule 11a-2	270.11a-2	3235-0272
Rule 11a-3	270.11a-3	3235-0358
Rule 12b-1	270.12b-1	3235-0212
Rule 17a-7	270.17a-7	3235-0214
Rule 17a-8	270.17a-8	3235-0235

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Rule 17e-1	270.17e-1	3235-0217
Rule 17f-1	270.17f-1	3235-0222
Rule 17f-2	270.17f-2	3235-0223
Rule 17f-4	270.17f-4	3235-0225
Rule 17f-6	270.17f-6	3235-0447
Rule 17f-7	270.17f-7	3235-0529
Rule 17g-1(g)	270.17g-1(g)	3235-0213
Rule 17j-1	270.17j-1	3235-0224
Rule 18f-1	270.18f-1	3235-0211
Rule 18f-3	270.18f-3	3235-0441
Rule 19a-1	270.19a-1	3235-0216
Rule 20a-1	270.20a-1	3235-0158
Rule 22d-1	270.22d-1	3235-0310
Rule 23c-1	270.23c-1	3235-0260
Rule 23c-3	270.23c-3	3235-0422
Rule 27e-1	270.27e-1	3235-0545
Rule 30b2-1	270.30b2-1	3235-0220
Rule 30d-2	270.30d-2	3235-0494
Rule 30e-1	270.30e-1	3235-0025
Rule 31a-1	270.31a-1	3235-0178
Rule 31a-2	270.31a-2	3235-0179
Rule 32a-4	270.32a-4	3235-0530
Rule 34b-1	270.34b-1	3235-0346
Rule 35d-1	270.35d-1	3235-0548
Form N-5	274.5	3235-0169
Form N-8A	274.10	3235-0175
Form N-2	274.11a-1	3235-0026
Form N-3	274.11b	3235-0316
Form N-4	274.11c	3235-0318
Form N-8B-2	274.12	3235-0186
Form N-6F	274.15	3235-0238
Form 24F-2	274.24	3235-0456
Form N-18F-1	274.51	3235-0211
Form N-54A	274.53	3235-0237
Form N-54C	274.54	3235-0236
Form N-SAR	274.101	3235-0330
Form N-27E-1	274.127e-1	3235-0545
Form N-27F-1	274.127f-1	3235-0546
Form N-17D-1	274.200	3235-0229
Form N-23C-1	274.201	3235-0230
Form N-8F	274.218	3235-0157
Form N-17F-1	274.219	3235-0359
Form N-17F-2	274.220	3235-0360
Form N-23c-3	274.221	3235-0422
Form ET	274.401	3235-0329
Form ID	274.402	3235-0328
Form SE	274.403	3235-0327
Rule 0-2	275.0-2	3235-0240
Rule 203-3	275.203-3	3235-0538
Rule 204-2	275.204-2	3235-0278
Rule 204-3	275.204-3	3235-0047
Rule 206(3)-2	275.206(3)-2	3235-0243
Rule 206(4)-2	275.206(4)-2	3235-0241
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Rule 206(4)-4	275.206(4)-4	3235-0345
Form ADV	279.1	3235-0049
Schedule I to Form ADV	279.1	3235-0490
Form ADV-W	279.2	3235-0313
Form ADV-H	379.3	3235-0538
Form 4-R	279.4	3235-0240
Form 5-R	279.5	3235-0240
Form 6-R	279.6	3235-0240
Form 7-R	279.7	3235-0240
Form ADV-E	279.8	3235-0361

[67 FR 14634, Mar. 27, 2002, as amended at 70 FR 37611, June 29, 2005; 77 FR 18684, Mar. 28, 2012]

EFFECTIVE DATE NOTE: At 76 FR 46616, Aug. 3, 2011, § 200.800 was amended by removing from paragraph (b) the entry for “Form F-9”, effective Dec. 31, 2012.