

§ 249.1300T

Finding Aids section of the printed volume and at *www.fdsys.gov*.

§ 249.1300T Form MA-T, for temporary registration as a municipal advisor, and for amendments to, and withdrawals from, temporary registration.

The form shall be used for temporary registration as a municipal advisor, and for amendments to, and withdrawals from, temporary registration pursuant to Section 15B of the Exchange Act, (15 U.S.C. 78o-4).

EFFECTIVE DATE NOTE: At 78 FR 67639, Nov. 12, 2013, §249.1300T was removed effective Jan. 1, 2015.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MA-T, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.fdsys.gov*.

§ 249.1310 Form MA-I, for providing information regarding natural person municipal advisors, and for amendments to such information.

The form shall be used for providing information regarding natural person municipal advisors, and for amendments to such information.

EFFECTIVE DATE NOTE: At 79 FR 2779, Jan. 16, 2014, §249.1310 was stayed until July 1, 2014.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MA-I, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.fdsys.gov*.

§ 249.1320 Form MA-W, for withdrawal from registration as a municipal advisor.

The form shall be used for filing a notice of withdrawal from registration as a municipal advisor pursuant to section 15B of the Securities Exchange Act of 1934 (15 U.S.C. 78o-4).

EFFECTIVE DATE NOTE: At 79 FR 2779, Jan. 16, 2014, §249.1320 was stayed until July 1, 2014.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MA-W, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.fdsys.gov*.

17 CFR Ch. II (4-1-14 Edition)

§ 249.1330 Form MA-NR, for appointment of agent for service of process by non-resident municipal advisor, non-resident general partner or managing agent of a municipal advisor, and non-resident natural person associated with a municipal advisor.

The form shall be used to furnish information pertaining to the appointment of agent for service of process by a non-resident municipal advisor and by registered municipal advisors to furnish the same for each of its non-resident general partner or managing agent, or non-resident natural person associated with a municipal advisor pursuant to section 15B of the Securities Exchange Act of 1934 (15 U.S.C. 78o-4).

EFFECTIVE DATE NOTE: At 79 FR 2779, Jan. 16, 2014, §249.1330 was stayed until July 1, 2014.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form MA-NR, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.fdsys.gov*.

Subpart O—Forms for Securitizers of Asset-Backed Securities

§ 249.1400 Form ABS-15G, Asset-backed securitizer report pursuant to Section 15G of the Securities Exchange Act of 1934.

This form shall be used for reports of information required by Rule 15Ga-1 (§240.15Ga-1 of this chapter).

[76 FR 4515, Jan. 26, 2011]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ABS-15G, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.fdsys.gov*.

Subpart S—Whistleblower Forms

SOURCE: 76 FR 34371, June 13, 2011, unless otherwise noted.

§ 249.1800 Form TCR, tip, complaint or referral.

This form may be used by anyone wishing to provide the SEC with information concerning a violation of the Federal securities laws. The information provided may be disclosed to Federal, state, local, or foreign agencies