

§ 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.

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§ 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

responsible for investigating, prosecuting, enforcing, or implementing the Federal securities laws, rules, or regulations consistent with the confidentiality requirements set forth in Section 21F(h)(2) of the Exchange Act (15 U.S.C. 78u-6(h)(2)) and §240.21F-7 of this chapter.

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

§ 249.1801 Form WB-APP, Application for award for original information submitted pursuant to Section 21F of the Securities Exchange Act of 1934.

This form must be used by persons making a claim for a whistleblower award in connection with information provided to the SEC or to another agency in a related action. The information provided will enable the Commission to determine your eligibility for payment of an award pursuant to Section 21F of the Securities Exchange Act of 1934 (15 U.S.C. 78u-6). This information may be disclosed to Federal, state, local, or foreign agencies responsible for investigating, prosecuting, enforcing, or implementing the Federal securities laws, rules, or regulations consistent with the confidentiality requirements set forth in Section 21F(h)(2) of the Exchange Act (15 U.S.C. 78u-6(h)(2)) and §240.21F-7 of this chapter. Furnishing the information is voluntary, but a decision not to do so may result in you not being eligible for award consideration.

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

PART 249a—FORMS, SECURITIES INVESTOR PROTECTION ACT OF 1970 [RESERVED]

PART 249b—FURTHER FORMS, SECURITIES EXCHANGE ACT OF 1934

Sec.
249b.1-249b.99 [Reserved]

249b.100 Form TA-1, uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

249b.101 Form TA-W, notice of withdrawal from registration as transfer agent.

249b.102 Form TA-2, form to be used by transfer agents registered pursuant to section 17A of the Securities Exchange Act of 1934 for the annual report of transfer agent activities.

249b.200 Form CA-1, form for registration or for exemption from registration as a clearing agency and for amendment to registration as a clearing agency pursuant to section 17A of the Securities Exchange Act of 1934.

249b.300 FORM NRSRO, application for registration as a nationally recognized statistical rating organization pursuant to section 15E of the Securities Exchange Act of 1934 and §240.17g-1 of this chapter.

249b.400 Form SD, specialized disclosure report.

AUTHORITY: 15 U.S.C. 78a *et seq.*, unless otherwise noted;

Sections 249b.100 and 249b.102 also issued under secs. 17, 17A and 23(a); 48 Stat. 897, as amended, 89 Stat. 137, 141 and 48 Stat. 901 (15 U.S.C. 78q, 78q-1, 78w(a)).

Section 249b.400 is also issued under secs. 1502, Pub. L. 111-203, 124 Stat. 2213

§§ 249b.1-249b.99 [Reserved]

§ 249b.100 Form TA-1,¹ uniform form for registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

This form shall be used for application for registration as a transfer agent and for amendment to registration as a transfer agent pursuant to section 17A of the Securities Exchange Act of 1934.

[40 FR 51184, Nov. 4, 1975, as amended at 51 FR 12127, Apr. 9, 1986; 73 FR 32228, June 5, 2008]

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

¹Copies of the form may be obtained from the Publications Section, Securities and Exchange Commission, 100 F Street, NE., Washington, DC 20549 and from each of the Commission's regional offices.