

§ 249b.400 Form SD, specialized disclosure report.

(a) This Form shall be filed pursuant to §240.13p-1 of this chapter by registrants that file reports with the Commission pursuant to Sections 13(a) or 15(d) of the Securities Exchange Act of 1934 and are required to disclose the information required by Section 13(p) under the Securities Exchange Act of 1934 and Rule 13p-1 (§240.13p-1) of this chapter.

(b) This Form shall be filed pursuant to Rule 13q-1 (§240.13q-1) of this chapter by resource extraction issuers that are required to disclose the information required by Section 13(q) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(q)) and Rule 13q-1 of this chapter.

[77 FR 56362, Sept. 12, 2012, as amended at 77 FR 56418, Sept. 12, 2012]

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

PART 250—CROSS-BORDER ANTI-FRAUD LAW-ENFORCEMENT AUTHORITY

AUTHORITY: 15 U.S.C. 77s, 77v(c), 78w, 78aa(b), 80b-11, and 80b-14(b).

SOURCE: 79 FR 47372, Aug. 12, 2014, unless otherwise noted.

§ 250.1 Cross-border antifraud law-enforcement authority.

(a) Notwithstanding any other Commission rule or regulation, the anti-fraud provisions of the securities laws apply to:

(1) Conduct within the United States that constitutes significant steps in furtherance of the violation; or

(2) Conduct occurring outside the United States that has a foreseeable substantial effect within the United States.

(b) The antifraud provisions of the securities laws apply to conduct described in paragraph (a)(1) of this section even if:

(1) The violation relates to a securities transaction or securities transactions occurring outside the United

States that involves only foreign investors; or

(2) The violation is committed by a foreign adviser and involves only foreign investors.

(c) Violations of the antifraud provisions of the securities laws described in this section may be pursued in judicial proceedings brought by the Commission or the United States.

PARTS 251-254 [RESERVED]

PART 255—PROPRIETARY TRADING AND CERTAIN INTERESTS IN AND RELATIONSHIPS WITH COVERED FUNDS

Subpart A—Authority and Definitions

Sec.

- 255.1 Authority, purpose, scope, and relationship to other authorities
- 255.2 Definitions.

Subpart B—Proprietary Trading

- 255.3 Prohibition on proprietary trading.
- 255.4 Permitted underwriting and market making-related activities.
- 255.5 Permitted risk-mitigating hedging activities.
- 255.6 Other permitted proprietary trading activities.
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Subpart C—Covered Fund Activities and Investments

- 255.10 Prohibition on acquiring or retaining an ownership interest in and having certain relationships with a covered fund.
- 255.11 Permitted organizing and offering, underwriting, and market making with respect to a covered fund.
- 255.12 Permitted investment in a covered fund.
- 255.13 Other permitted covered fund activities and investments.
- 255.14 Limitations on relationships with a covered fund.
- 255.15 Other limitations on permitted covered fund activities and investments.
- 255.16 Ownership of interests in and sponsorship of issuers of certain collateralized debt obligations backed by trust-preferred securities.
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