

regarding whether third party disclosure of information is permitted in order to pursue an investigation. Additionally, in this comment the Office of Inspector General requests a routine use allowing third party disclosure of information pursuant to an investigation.

*Answer:* The question posed by the Office of Inspector General is whether the disclosure of some information from this SOR to the Office of Inspector General authorizes them to “share Informed Delivery information with third parties to investigate the customer’s complaint.” Unfortunately, this request is for a generalized legal opinion, absent the factual support of a scenario. Such an opinion cannot be provided.

As discussed in response to comment number 2, three authorized disclosures already exist that allow information to be shared for law enforcement purposes. However, merely being authorized to provide the data to the Office of Inspector General does not end the inquiry. An independent inquiry must be made of whether this particular third party has a need to know the information. Determining the need to know of a particular party is a fact specific determination. As a result, the need to know for a particular class of individuals, absent knowledge of the particular factual circumstances, cannot be answered in the abstract.

The request for a generalized routine use to further disclose information disclosed from a system of record pursuant to a different routine use, to a generalized class of individuals is equally untenable. It is not possible to ensure that the entire class is appropriate for disclosure. As a result, the class does not comport with the strictures required by the Privacy Act and cannot be entertained.

4. *Comment 4:*<sup>4</sup> The Office of Inspector General asks two questions to ascertain whether mailpiece images are personally identifiable information as defined in the Privacy Act.

*Answer:* To fully respond to this question, it is necessary to discuss the exact nature of a record that would be subject to the Privacy Act. A record is subject to the Privacy Act if it is a “record which is contained in a system of records.” 5 U.S.C. 552a(b).

A record is an “item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to,

his education, financial transactions, medical history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.” 5 U.S.C. 552a(a)(4).

A system of records is “a group of any records under the control of any agency from which information is *retrieved* by the name of the *individual or by some identifying number, symbol, or other identifying particular* assigned to the individual.” 5 U.S.C. 552a(a)(5) (emphasis added).

Therefore, to be subject to the Privacy Act, data must be a record and stored in a system of record.

Looking at mailpieces, the answer is two-fold. When mailpiece images are within the Informed Delivery System, those mailpiece images are records stored in a system of records. Mailpiece images are provided to the individual, with a Customer Registration and Informed Delivery account, who will be receiving the physical mailpiece. The mailpiece images are directly related to the delivery point associated to the accounts. Delivery points associated with accounts are retried by personal identifier and they are subject to the Privacy Act.

When the mailpiece images are not within the Informed Delivery Service, they are stored in bulk with the mail-processing equipment. Those images are not stored or retrieved by personal identifier. It is not until they are associated with the Informed Delivery Service that they become retrievable by personal identifier. As a result, when the mailpiece images are in bulk storage, they are not records subject to the Privacy Act.

**Joshua J. Hofer,**

*Attorney, Ethics & Legal Compliance.*

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## RAILROAD RETIREMENT BOARD

### Agency Forms Submitted for OMB Review, Request for Comments

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35), the Railroad Retirement Board (RRB) is forwarding an Information Collection Request (ICR) to the Office of Information and Regulatory Affairs (OIRA), Office of Management and Budget (OMB). Our ICR describes the information we seek to collect from the public. Review and approval by OIRA ensures that we impose appropriate paperwork burdens.

The RRB invites comments on the proposed collections of information to determine (1) the practical utility of the collections; (2) the accuracy of the estimated burden of the collections; (3) ways to enhance the quality, utility, and clarity of the information that is the subject of collection; and (4) ways to minimize the burden of collections on respondents, including the use of automated collection techniques or other forms of information technology. Comments to the RRB or OIRA must contain the OMB control number of the ICR. For proper consideration of your comments, it is best if the RRB and OIRA receive them within 30 days of the publication date.

1. *Title and purpose of information collection:* Employee Representative’s Status and Compensation Reports; OMB 3220–0014.

Under Section 1(b)(1) of the Railroad Retirement Act (RRA) (45 U.S.C. 231b), the term “employee” includes an individual who is an employee representative. As defined in Section 1(c) of the RRA, an employee representative is an officer or official representative of a railway labor organization other than a labor organization included in the term “employer,” as defined in the RRA, who before or after August 29, 1935, was in the service of an employer under the RRA and who is duly authorized and designated to represent employees in accordance with the Railway Labor Act, or, any individual who is regularly assigned to or regularly employed by such officer or official representative in connection with the duties of his or her office. The requirements relating to the application for employee representative status and the periodic reporting of the compensation resulting from such status is contained in 20 CFR 209.10.

The RRB utilizes Form DC–2, *Employee Representative’s Report of Compensation*, to obtain the information needed to determine employee representative status and to maintain a record of creditable service and compensation resulting from such status. Completion is required to obtain or retain a benefit. One response is requested of each respondent.

*Previous Requests for Comments:* The RRB has already published the initial 60-day notice (87 FR 19538 on April 4, 2022) required by 44 U.S.C. 3506(c)(2). That request elicited no comments.

### Information Collection Request (ICR)

*Title:* Employee Representative’s Status and Compensation Reports.

*OMB Control Number:* 3220–0014.

*Form(s) submitted:* DC–2.

2022–05654,” submitted by the United States Postal Service Office of Inspector General.

<sup>4</sup>In response to comments, entitled “Public Comment on SORN for Informed Delivery FR Doc. 2022–05654,” submitted by the United States Postal Service Office of Inspector General.

*Type of request:* Extension without change of a currently approved collection.

*Affected public:* Private Sector; Businesses or other for-profits.

*Abstract:* Benefits are provided under the Railroad Retirement Act (RRA) for individuals who are employee representatives as defined in section 1 of the RRA. The collection obtains

information regarding the status of such individuals and their compensation.

*Changes proposed:* The RRB proposes no changes to Form DC-2.

The burden estimate for the ICR is as follows:

Form No.	Annual responses	Time (minutes)	Burden (hours)
DC-2 .....	82	30	41
Total .....	82	.....	41

**2. Title and purpose of information collection:** Application for Survivor Insurance Annuities; OMB 3220-0030.

Under Section 2(d) of the Railroad Retirement Act (RRA) (45 U.S.C. 231a), monthly survivor annuities are payable to surviving widow(er)s, parents, unmarried children, and in certain cases, divorced spouses, mothers (fathers), remarried widow(er)s, and grandchildren of deceased railroad employees if there are no qualified survivors of the employee immediately eligible for an annuity. The requirements relating to the annuities are prescribed in 20 CFR 216, 217, 218, and 219.

To collect the information needed to help determine an applicant's entitlement to, and the amount of, a survivor annuity the RRB uses Forms AA-17, *Application for Widow(er)'s Annuity*; AA-17b, *Applications for Determination of Widow(er)'s Disability*; AA-18, *Application for Mother's/Father's and Child's Annuity*; AA-19, *Application for Child's Annuity*; AA-19a, *Application for Determination of Child's Disability*; AA-20, *Application for Parent's Annuity*, and electronic Forms AA-17cert, *Application Summary and Certification* and AA-17sum, *Application Summary*.

The on-line automated survivor annuity application (Forms AA-17, AA-18, AA-19, and AA-20) process

obtains information about an applicant's marital history, work history, benefits from other government agencies, and Medicare entitlement for a survivor annuity. An RRB representative interviews the applicant either at a field office (preferred), an itinerant point, or by telephone. During the interview, the RRB representative enters the information obtained into an on-line information system. Upon completion of the interview, the system generates, for the applicant's review, either Form AA-17cert or AA-17sum, which provides a summary of the information that the applicant provided or verified. Form AA-17cert, *Application Summary and Certification*, requires a tradition pen and ink "wet" signature. Form AA-17sum, *Application Summary*, documents the alternate signing method called "Attestation," which is an action taken by the RRB representative to confirm and annotate in the RRB records (1) the applicant's intent to file an application; (2) the applicant's affirmation under penalty of perjury that the information provided is correct; and (3) the applicant's agreement to sign the application by proxy. When the RRB representative is unable to contact the applicant in person or by telephone, for example, the applicant lives in another country, a manual version of the appropriate form is used. One response is requested of each respondent.

Completion of the forms is required to obtain a benefit.

*Previous Requests for Comments:* The RRB has already published the initial 60-day notice (87 FR 19538 on April 4, 2022) required by 44 U.S.C. 3506(c)(2). That request elicited no comments.

**Information Collection Request (ICR)**

*Title:* Application for Survivor Insurance Annuities.

*OMB Control Number:* 3220-0030.

*Form(s) submitted:* AA-17b, AA-17cert, AA-17sum, and AA-19a.

*Type of request:* Extension without change of a currently approved collection.

*Affected public:* Individuals or Households.

*Abstract:* Under Section 2(d) of the Railroad Retirement Act, monthly survivor annuities are payable to surviving widow(er)s, parents, unmarried children, and in certain cases, divorced wives (husbands), mothers (fathers), remarried widow(er)s and grandchildren of deceased railroad employees. The collection obtains information needed by the RRB to determine entitlement to and the amount of the annuity applied for.

*Changes proposed:* The RRB proposes no changes to forms AA-17b, AA-17cert, AA-17sum, and AA-19a.

The burden estimate for the ICR is as follows:

Form No.	Annual responses	Time (minutes)	Burden (hours)
AA-17 Application Process:			
AA-17cert .....	900	20	300
AA-17sum .....	2,100	19	665
AA-17b:			
(With assistance) .....	250	45	188
(Without assistance) .....	20	55	18
AA-19a:			
(With assistance) .....	200	45	150
(Without assistance) .....	15	65	16
Total .....	3,485	.....	1,337

3. *Title and Purpose of information collection:* Nonresident Questionnaire; OMB 3220–0145.

Under Public Laws 98–21 (45 U.S.C. 410) and 98–76 (45 U.S.C. 231t), benefits under the Railroad Retirement Act payable to annuitants living outside the United States may be subject to taxation under United States income tax laws. Whether the social security equivalent and non-social security equivalent portions of Tier I, Tier II, vested dual benefit, or supplemental annuity payments are subject to tax withholding, and whether the same or different rates are applied to each payment, depends on a beneficiary's citizenship and legal residence status, and whether exemption under a tax treaty between the United States and the country in which the beneficiary is a legal resident

has been claimed. To effect the required tax withholding, the Railroad Retirement Board (RRB) needs to know a nonresident's citizenship and legal residence status.

To secure the required information, the RRB utilizes Form RRB–1001, *Nonresident Questionnaire*, as a supplement to an application as part of the initial application process, and as an independent vehicle for obtaining the needed information when an annuitant's residence or tax treaty status changes. One response is requested of each respondent. Completion is voluntary.

*Previous Requests for Comments:* The RRB has already published the initial 60-day notice (87 FR 19539 on April 4, 2022) required by 44 U.S.C. 3506(c)(2). That request elicited no comments.

#### Information Collection Request (ICR)

*Title:* Nonresident Questionnaire.  
*OMB Control Number:* 3220–0145.  
*Forms submitted:* RRB–1001.

*Type of request:* Extension without change of a currently approved collection.

*Affected public:* Individuals or Households.

*Abstract:* Under the Railroad Retirement Act, the benefits payable to an annuitant living outside the United States may be subject to withholding under Public Laws 98–21 and 98–76. The form obtains the information needed to determine the amount to be withheld.

*Changes proposed:* The RRB proposes no changes to Form RRB–1001.

*The burden estimate for the ICR is as follows:*

Form No.	Annual responses	Time (minutes)	Burden (hours)
RRB–1001 (Initial Filing) .....	300	30	250
RRB–1001 (Tax Renewal) .....	1,000	30	400
Total .....	1,300	.....	650

#### Additional Information or Comments:

Copies of the forms and supporting documents can be obtained from Kennisha Tucker at (312) 469–2591 or [Kennisha.Tucker@rrb.gov](mailto:Kennisha.Tucker@rrb.gov). Comments regarding the information collection should be addressed to Brian Foster, Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois 60611–1275 or [Brian.Foster@rrb.gov](mailto:Brian.Foster@rrb.gov).

Written comments and recommendations for the proposed information collection should be sent within 30 days of publication of this notice to [www.reginfo.gov/public/do/PRAMain](http://www.reginfo.gov/public/do/PRAMain). Find this particular information collection by selecting “Currently under 30-day Review—Open for Public Comments” or by using the search function.

**Brian Foster,**

*Clearance Officer.*

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#### SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–95061; File No. SR–NYSE–2022–23]

#### Self-Regulatory Organizations; New York Stock Exchange LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change for Amendments to the Exchange's Rules Regarding Continuing Education Requirements

June 7, 2022.

Pursuant to Section 19(b)(1)<sup>1</sup> of the Securities Exchange Act of 1934 (the “Act”)<sup>2</sup> and Rule 19b–4 thereunder,<sup>3</sup> notice is hereby given that on May 25, 2022, New York Stock Exchange LLC (“NYSE” or the “Exchange”) filed with the Securities and Exchange Commission (the “Commission”) the proposed rule change as described in Items I and II below, which Items have been prepared by the self-regulatory organization. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

#### I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes amendments to the Exchange's rules regarding continuing education requirements (Rule 345A) applicable to members or member organizations. The proposed rule change also makes conforming amendments to the Exchange's rules regarding registration requirements (Rule 1210). Among other changes, the proposed rule change requires that the Regulatory Element of continuing education be completed annually rather than every three years and provides a path through continuing education for individuals to maintain their qualification following the termination of a registration. The proposed rule change is available on the Exchange's website at [www.nyse.com](http://www.nyse.com), at the principal office of the Exchange, and at the Commission's Public Reference Room.

#### II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the self-regulatory organization included statements concerning the purpose of, and basis for, the proposed rule change and discussed any comments it received on the proposed rule change. The text of those statements may be examined at

<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 15 U.S.C. 78a.

<sup>3</sup> 17 CFR 240.19b–4.