

## OFFICE OF PERSONNEL MANAGEMENT

### Submission for Review: Rollover Election (RI 38–117), Rollover Information (RI 38–118) and Special Tax Notice Regarding Rollovers (RI 37–22)

**AGENCY:** Office of Personnel Management.

**ACTION:** 30-Day notice and request for comments.

**SUMMARY:** Retirement Services, Office of Personnel Management (OPM) offers the general public and other Federal agencies the opportunity to comment on an expiring information collection request (ICR) with minor edits, Rollover Election (RI 38–117), Rollover Information (RI 38–118), and Special Tax Notice Regarding Rollovers (RI 37–22).

**DATES:** Comments are encouraged and will be accepted until August 26, 2022.

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

**FOR FURTHER INFORMATION CONTACT:** A copy of this information collection, with applicable supporting documentation, may be obtained by contacting the Retirement Services Publications Team, Office of Personnel Management, 1900 E Street NW, Room 3316–L, Washington, DC 20415, Attention: Cyrus S. Benson, or sent via electronic mail to [Cyrus.Benson@opm.gov](mailto:Cyrus.Benson@opm.gov) or faxed to (202) 606–0910 or via telephone at (202) 606–4808.

**SUPPLEMENTARY INFORMATION:** As required by the Paperwork Reduction Act of 1995 OPM is soliciting comments for this collection. The information collection (OMB No. 3206–0212) was previously published in the **Federal Register** on January 12, 2022 at 87 FR 1793, allowing for a 60-day public comment period. No comments were received for this collection. The purpose of this notice is to allow an additional 30 days for public comments. The Office of Management and Budget is particularly interested in comments that:

1. Evaluate whether the proposed collection of information is necessary for the proper performance of functions of the agency, including whether the information will have practical utility;

2. Evaluate the accuracy of the agency’s estimate of the burden of the proposed collection of information, including the validity of the methodology and assumptions used;

3. Enhance the quality, utility, and clarity of the information to be collected; and

4. Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submissions of responses.

RI 38–117, Rollover Election, is used to collect information from each payee affected by a change in the tax code so that OPM can make payment in accordance with the wishes of the payee. RI 38–118, Rollover Information, explains the election. RI 37–22, Special Tax Notice Regarding Rollovers, provides more detailed information.

#### Analysis

*Agency:* Retirement Operations, Retirement Services, Office of Personnel Management.

*Title:* Rollover Election, Rollover Information, and Special Tax Notice Regarding Rollover.

*OMB Number:* 3206–0212.

*Frequency:* On occasion.

*Affected Public:* Individuals or Households.

*Number of Respondents:* 1,500.

*Estimated Time per Respondent:* 40 minutes.

*Total Burden Hours:* 1,000.

U.S. Office of Personnel Management.

**Stephen Hickman,**

*Federal Register Liaison.*

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**BILLING CODE 6325–38–P**

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–95345; File No. SR–CTA/CQ–2021–02]

### Consolidated Tape Association; Notice of Designation of a Longer Period for Commission Action on the Thirty-Seventh Substantive Amendment to the Second Restatement of the CTA Plan and the Twenty-Eighth Substantive Amendment to the Restated CQ Plan

July 21, 2022.

On November 5, 2021,<sup>1</sup> the Participants<sup>2</sup> in the Second Restatement of the Consolidated Tape Association (“CTA”) Plan and the Restated Consolidated Quotation (“CQ”) Plan (collectively “CTA/CQ Plans” or “Plans”)<sup>3</sup> filed with the Securities and Exchange Commission (“SEC” or “Commission”), pursuant to Section 11A of the Securities Exchange Act of 1934 (“Act”)<sup>4</sup> and Rule 608 of Regulation National Market System (“NMS”) thereunder,<sup>5</sup> a proposal (“Proposed Amendments”) to amend the Plans. The Proposed Amendments were published for comment in the **Federal Register** on November 29, 2021.<sup>6</sup>

On February 24, 2022, the Commission instituted proceedings pursuant to Rule 608(b)(2)(i) of

<sup>1</sup> See Letter from Robert Books, Chair, CTA/CQ Plans Operating Committee, to Vanessa Countryman, Secretary, Commission (Nov. 5, 2021).

<sup>2</sup> The “Participants” are: Cboe BYX Exchange, Inc.; Cboe BZX Exchange, Inc.; Cboe EDGA Exchange, Inc.; Cboe EDGX Exchange, Inc.; Cboe Exchange, Inc.; Financial Industry Regulatory Authority, Inc.; Investors Exchange LLC; Long-Term Stock Exchange, Inc.; MEMX LLC; MIAX PEARL, LLC; Nasdaq BX, Inc.; Nasdaq ISE, LLC; Nasdaq PHLX LLC; The Nasdaq Stock Market LLC; New York Stock Exchange LLC; NYSE American LLC; NYSE Arca, Inc.; NYSE Chicago, Inc.; and NYSE National, Inc.

<sup>3</sup> The CTA Plan, pursuant to which markets collect and disseminate last-sale price information for non-Nasdaq-listed securities, is a “transaction reporting plan” under Rule 601 of Regulation NMS, 17 CFR 242.601, and a “national market system plan” under Rule 608 of Regulation NMS, 17 CFR 242.608. The CQ Plan, pursuant to which markets collect and disseminate bid/ask quotation information for non-Nasdaq-listed securities, is a “national market system plan” under Rule 608 of Regulation NMS, 17 CFR 242.608. See Securities Exchange Act Release Nos. 10787 (May 10, 1974), 39 FR 17799 (May 20, 1974) (declaring the CTA Plan effective); 15009 (July 28, 1978), 43 FR 34851 (Aug. 7, 1978) (temporarily authorizing the CQ Plan); and 16518 (Jan. 22, 1980), 45 FR 6521 (Jan. 28, 1980) (permanently authorizing the CQ Plan).

<sup>4</sup> 15 U.S.C. 78k–1.

<sup>5</sup> 17 CFR 242.608.

<sup>6</sup> See Securities Exchange Act Release No. 93615 (Nov. 19, 2021), 86 FR 67800 (Nov. 29, 2021) (“Notice”). Comments received in response to the Proposed Amendments are available at <https://www.sec.gov/comments/sr-cta-cq-2021-02/srcta-cq202102.htm>.

Regulation NMS,<sup>7</sup> to determine whether to approve or disapprove the Proposed Amendments or to approve the Proposed Amendments with any changes or subject to any conditions the Commission deems necessary or appropriate after considering public comment.<sup>8</sup> On May 19, 2022, pursuant to Rule 608(b)(2)(i) of Regulation NMS,<sup>9</sup> the Commission extended the period within which to conclude proceedings regarding the Proposed Amendments to 240 days from the date of publication of the Notice.<sup>10</sup>

Rule 608(b)(2)(ii) of Regulation NMS provides that the time for conclusion of proceedings to determine whether a national market system plan or proposed amendment should be disapproved may be extended for an additional period up to 60 days (up to 300 days from the date of notice publication) if the Commission determines that a longer period is appropriate and publishes the reasons for such determination or the plan participants consent to the longer period.<sup>11</sup> The 240th day after publication of the Notice for the Proposed Amendments is July 27, 2022. The Commission is extending this 240-day period.

The Commission finds that it is appropriate to designate a longer period within which to conclude proceedings regarding the Proposed Amendments so that it has sufficient time to consider the Proposed Amendments and comments received. Accordingly, pursuant to Rule 608(b)(2)(ii) of Regulation NMS,<sup>12</sup> the Commission designates September 25, 2022, as the date by which the Commission shall conclude the proceedings to determine whether to approve or disapprove the Proposed Amendments or to approve the Proposed Amendments with any changes or subject to any conditions the Commission deems necessary or appropriate (File No. SR-CTA/CQ-2021-02).

By the Commission.

**J. Matthew DeLesDernier,**  
Deputy Secretary.

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<sup>7</sup> 17 CFR 242.608(b)(2)(i).

<sup>8</sup> See Securities Exchange Act Release No. 94310 (Feb. 24, 2022), 87 FR 11748 (Mar. 2, 2022).

<sup>9</sup> See 17 CFR 242.608(b)(2)(i).

<sup>10</sup> See Securities Exchange Act Release No. 94951 (May 19, 2022), 87 FR 31920 (May 25, 2022).

<sup>11</sup> See 17 CFR 242.608(b)(2)(ii).

<sup>12</sup> *Id.*

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-95348; File No. S7-24-89]

### Joint Industry Plan; Notice of Designation of a Longer Period for Commission Action on the Fifty-Second Amendment to the Joint Self-Regulatory Organization Plan Governing the Collection, Consolidation and Dissemination of Quotation and Transaction Information for Nasdaq-Listed Securities Traded on Exchanges on an Unlisted Trading Privileges Basis

On November 5, 2021,<sup>1</sup> certain participants in the Joint Self-Regulatory Organization Plan Governing the Collection, Consolidation and Dissemination of Quotation and Transaction Information for Nasdaq-Listed Securities Traded on Exchanges on an Unlisted Trading Privileges Basis (“Nasdaq/UTP Plan” or “Plan”)<sup>2</sup> filed with the Securities and Exchange Commission (“SEC” or “Commission”), pursuant to Section 11A of the Securities Exchange Act of 1934 (“Act”)<sup>3</sup> and Rule 608 of Regulation National Market System (“NMS”)<sup>4</sup> thereunder,<sup>4</sup> a proposal (“Proposed Amendment”) to amend the Nasdaq/UTP Plan.<sup>5</sup> The Proposed Amendment was published for comment in the **Federal Register** on November 26, 2021.<sup>6</sup>

On February 24, 2022, the Commission instituted proceedings

<sup>1</sup> See Letter from Robert Books, Chair, Nasdaq/UTP Plan Operating Committee, to Vanessa Countryman, Secretary, Commission (Nov. 5, 2021).

<sup>2</sup> The Plan governs the collection, processing, and dissemination on a consolidated basis of quotation information and transaction reports in Eligible Securities for its Participants. The Plan serves as the required transaction reporting plan for its Participants, which is a prerequisite for their trading Eligible Securities. See Securities Exchange Act Release No. 55647 (Apr. 19, 2007), 72 FR 20891 (Apr. 26, 2007).

<sup>3</sup> 15 U.S.C. 78k-1.

<sup>4</sup> 17 CFR 242.608.

<sup>5</sup> The Proposed Amendment was approved and executed by more than the required two-thirds of the self-regulatory organizations (“SROs”) that are participants of the Plan. The participants that approved and executed the amendment (the “Participants”) are: Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., Cboe Exchange, Inc., Nasdaq ISE, LLC, Nasdaq PHLX LLC, The Nasdaq Stock Market LLC, New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc., and NYSE National, Inc. The other SROs that are participants in the UTP Plan are: Financial Industry Regulatory Authority, Inc., Investors Exchange LLC, Long-Term Stock Exchange, Inc., MEMX LLC, MIAX PEARL, LLC, and Nasdaq BX, Inc.

<sup>6</sup> See Securities Exchange Act Release No. 93618 (Nov. 19, 2021), 86 FR 67562 (Nov. 26, 2021) (“Notice”). Comments received in response to the Proposed Amendment are available at <https://www.sec.gov/comments/s7-24-89/s72489.htm>.

pursuant to Rule 608(b)(2)(i) of Regulation NMS,<sup>7</sup> to determine whether to approve or disapprove the Proposed Amendment or to approve the Proposed Amendment with any changes or subject to any conditions the Commission deems necessary or appropriate after considering public comment.<sup>8</sup> On May 19, 2022, pursuant to Rule 608(b)(2)(i) of Regulation NMS,<sup>9</sup> the Commission extended the period within which to conclude proceedings regarding the Proposed Amendment to 240 days from the date of publication of the Notice.<sup>10</sup>

Rule 608(b)(2)(ii) of Regulation NMS provides that the time for conclusion of proceedings to determine whether a national market system plan or proposed amendment should be disapproved may be extended for an additional period up to 60 days (up to 300 days from the date of notice publication) if the Commission determines that a longer period is appropriate and publishes the reasons for such determination or the plan participants consent to the longer period.<sup>11</sup> The 240th day after publication of the Notice for the Proposed Amendment is July 24, 2022. The Commission is extending this 240-day period.

The Commission finds that it is appropriate to designate a longer period within which to conclude proceedings regarding the Proposed Amendment so that it has sufficient time to consider the Proposed Amendment and comments received. Accordingly, pursuant to Rule 608(b)(2)(ii) of Regulation NMS,<sup>12</sup> the Commission designates September 22, 2022, as the date by which the Commission shall conclude the proceedings to determine whether to approve or disapprove the Proposed Amendment or to approve the Proposed Amendment with any changes or subject to any conditions the Commission deems necessary or appropriate (File No. S7-24-89).

By the Commission.

**J. Matthew DeLesDernier,**  
Deputy Secretary.

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<sup>7</sup> 17 CFR 242.608(b)(2)(i).

<sup>8</sup> See Securities Exchange Act Release No. 94307 (Feb. 24, 2022), 87 FR 11787 (Mar. 2, 2022).

<sup>9</sup> See 17 CFR 242.608(b)(2)(i).

<sup>10</sup> See Securities Exchange Act Release No. 94953 (May 19, 2022), 87 FR 31921 (May 25, 2022).

<sup>11</sup> See 17 CFR 242.608(b)(2)(ii).

<sup>12</sup> *Id.*