

Agency name	Organization name	Position title	Authorization number	Vacate date
DEPARTMENT OF HEALTH AND HUMAN SERVICES.	Office of the Assistant Secretary for Public Affairs.	Senior Speechwriter .....	DH130040	9/6/2013
DEPARTMENT OF HOMELAND SECURITY.	Office of the Assistant Secretary for Public Affairs.	Director of Strategic Communications	DM100106	9/7/2013
	Office of the Assistant Secretary for Policy.	Special Assistant .....	DM110195	9/7/2013
	Immediate Office of the Deputy Secretary.	Confidential Assistant .....	DM090285	9/21/2013
	Office of the Assistant Secretary for Public Affairs.	Deputy Press Secretary .....	DM110234	9/21/2013
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT.	Northwest/Alaska (Seattle) .....	Regional Administrator .....	DU100045	9/7/2013
	Office of the General Counsel .....	Senior Counsel .....	DU110014	9/14/2013
DEPARTMENT OF JUSTICE.	Office of Legislative Affairs .....	Attorney Advisor .....	DJ110034	9/7/2013
	Civil Rights Division .....	Counsel .....	DJ100176	9/21/2013
DEPARTMENT OF LABOR.	Office of Public Affairs .....	Special Assistant .....	DL090126	9/7/2013
DEPARTMENT OF STATE.	Office of the Under Secretary for Arms Control and International Security Affairs.	Staff Assistant .....	DS120073	9/4/2013
DEPARTMENT OF THE INTERIOR.	Secretary's Immediate Office .....	Special Assistant .....	DI120031	9/6/2013
	Bureau of Safety and Environmental Enforcement.	Senior Advisor .....	DI110089	9/27/2013
DEPARTMENT OF TRANSPORTATION.	Office of the Secretary .....	White House Liaison .....	DT090059	9/9/2013
ENVIRONMENTAL PROTECTION AGENCY.	Office of the Associate Administrator for Congressional and Intergovernmental Relations.	Senior Advisor .....	EP130019	9/14/2013
	Office of the Associate Administrator for External Affairs and Environmental Education.	Director, Office of Public Engagement.	EP110021	9/21/2013
EXPORT-IMPORT BANK.	Export Finance .....	Senior Vice-President for Export Finance.	EB060001	9/30/2013
OFFICE OF SCIENCE AND TECHNOLOGY POLICY.	Office of Science and Technology Policy.	Executive Assistant .....	TS100005	9/6/2013
TRADE AND DEVELOPMENT AGENCY.	Office of the Director .....	Chief of Staff .....	TD120001	9/28/2013

**Authority:** 5 U.S.C. 3301 and 3302; E.O. 10577, 3 CFR, 1954-1958 Comp., p. 218.

U.S. Office of Personnel Management.

**Katherine Archuleta,**

*Director.*

[FR Doc. 2013-28664 Filed 11-27-13; 8:45 am]

**BILLING CODE 6325-39-P**

## SECURITIES AND EXCHANGE COMMISSION

### Proposed Collection; Comment Request

*Upon Written Request, Copies Available*

From: Securities and Exchange Commission, Office of Investor Education and Advocacy, Washington, DC 20549-0213.

*Extension:*

Rule 301 and Forms ATS and ATS-R, SEC File No. 270-451, OMB Control No. 3235-0509.

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission ("Commission") is soliciting comments on the collection of information summarized below. The Commission plans to submit this existing collection of information to the Office of Management and Budget for extension and approval.

Regulation ATS provides a regulatory structure for alternative trading systems. Regulation ATS allows an alternative trading system to choose between registering as a broker-dealer and complying with Regulation ATS, or registering as a national securities exchange. Regulation ATS provides the regulatory framework for those

alternative trading systems that choose to be regulated as broker-dealers. Rule 301 of Regulation ATS contains certain notice and reporting requirements, as well as additional obligations that apply only to alternative trading systems with significant volume. The Rule requires all alternative trading systems that wish to comply with Regulation ATS to file an initial operation report on Form ATS. The initial operation report requires information regarding operation of the system including the method of operation, access criteria and the types of securities traded. Alternative trading systems are also required to supply updates on Form ATS to the Commission, describing material changes to the system, and quarterly transaction reports on Form ATS-R. Alternative trading systems are also required to file cessation of operations reports on Form ATS.

An alternative trading system with significant volume is required to comply with requirements for fair access and systems capacity, integrity, and security. Under Rule 301, such alternative trading system is required to establish written standards for granting access to its system. In addition, such alternative trading system is required to make and keep records of all grants of access including, for all subscribers, the reasons for granting such access, and all denials or limitations of access and reasons, for each applicant, for denying or limiting access. Regulation ATS requires alternative trading systems to preserve any records made in the process of complying with the capacity, integrity, and security requirements. In addition, such alternative trading systems are required to notify Commission staff of material systems outages and significant systems changes.

The Commission uses the information provided pursuant to the Regulation ATS to monitor the growth and development of alternative trading systems, and to monitor whether the systems promote fair and orderly securities markets and operate in a manner that is consistent with the federal securities laws. In particular, the information collected and reported to the Commission by alternative trading systems enables the Commission to evaluate the operation of alternative trading systems with regard to national market system goals, and monitor the competitive effects of these systems to ascertain whether the regulatory framework remains appropriate to the operation of such systems. Without the information provided on Forms ATS and ATS-R, the Commission would not have readily available information on a regular basis in a format that would allow it to oversee the securities markets.

Respondents consist of alternative trading systems that choose to register as broker-dealers and comply with the requirements of Regulation ATS. The Commission estimates that there will be approximately 95 respondents.

An estimated 95 respondents will file an average total of 598 responses per year, which corresponds to an estimated aggregated annual response burden of 2,872.50 hours (comprised of 2,156 hours professional labor and 716.5 hours para-professional labor). At an average cost per burden hour of approximately \$379 for professional labor and \$63 for para-professional labor, the resultant total related cost of compliance for these respondents is \$862,263.50 per year ( $(2,156 \text{ professional burden hours multiplied by } \$379 = \$817,124) \text{ plus } (716.5 \text{ para-}$

professional burden hours multiplied by  $\$63 = \$45,139.50)$ .

An estimated 7 respondents will commence operations as an ATS each year, necessitating the filing of an initial operation report on Form ATS. The Commission estimates that the average compliance burden for each respondent would be 20 hours, comprising 13 hours of in-house professional work and 7 hours of clerical work. Thus, the total compliance burden per year is 140 hours ( $7 \text{ responses} \times 20 \text{ hours} = 140 \text{ hours}$ ). The total cost of compliance for the annual burden is \$37,576 ( $\$379 \times 13 \text{ hours per response} + \$63 \times 7 \text{ hours per response} = \$5,368 \text{ per response; } \$5,368 \times 7 \text{ responses} = \$37,576$ ).

An estimated 95 respondents will file an estimated two periodic amendments to their initial operation report on Form ATS each year, an estimated total of 190 amendments. The Commission estimates that the average compliance burden for each amendment would be 6 hours, comprising 4.5 hours of in-house professional work and 1.5 hours of clerical work. Thus, the total compliance burden per year is 1,140 hours ( $190 \text{ responses} \times 6 \text{ hours} = 1,140 \text{ hours}$ ). The total cost of compliance for the annual burden is \$342,000 ( $\$379 \times 4.5 \text{ hours per response} + \$63 \times 1.5 \text{ hours per response} = \$1,800 \text{ per response; } \$1,800 \times 190 \text{ responses} = \$342,000$ ).

An estimated 95 respondents will file four quarterly reports on Form ATS-R each year for an estimated total of 380 responses. The Commission estimates that the average compliance burden for each filing would be 4 hours, comprising 3 hours of in-house professional work and 1 hour of clerical work. Thus, the total compliance burden per year is 1,520 hours ( $380 \text{ responses} \times 4 \text{ hours} = 1,520 \text{ hours}$ ). The total cost of compliance for the annual burden is \$456,000 ( $\$379 \times 3 \text{ hours per response} + \$63 \times 1 \text{ hour per response} = \$1,200 \text{ per response; } \$1,200 \times 380 \text{ responses} = \$456,000$ ).

An estimated 5 respondents will be required to file a cessation of operations report on Form ATS each year. The Commission estimates that the average compliance burden for each response would be 2 hours, comprising 1.5 hours of in-house professional work and 0.5 hours of clerical work. Thus, the total compliance burden per year is 10 hours ( $5 \text{ responses} \times 2 \text{ hours} = 10 \text{ hours}$ ). The total cost of compliance for the annual burden is \$3,000 ( $\$379 \times 1.5 \text{ hours per response} + \$63 \times 0.5 \text{ hours per response} = \$600 \text{ per response; } \$600 \times 5 \text{ responses} = \$3,000$ ).

An estimated 2 respondents will meet certain volume thresholds requiring them to establish written standards for

granting access to their systems. The Commission estimates that the average compliance burden for each response would be 10 hours of in-house professional work at \$379 per hour. Thus, the total compliance burden per year is 20 hours ( $2 \text{ responses} \times 10 \text{ hours} = 20 \text{ hours}$ ). The total cost of compliance for the annual burden is \$7,580 ( $\$379 \times 10 \text{ hours per response} \times 2 \text{ responses} = \$7,580$ ).

An estimated 2 respondents will meet certain volume thresholds requiring them to make and keep records of (1) all grants of access including, for all subscribers, the reasons for granting such access; and (2) all denials or limitations of access and reasons, for each applicant, for denying or limiting access. The Commission estimates that the average compliance burden for each response would be 10 hours of in-house professional work at \$379 per hour. Thus, the total compliance burden per year is 20 hours ( $2 \text{ respondents} \times 10 \text{ hours} = 20 \text{ hours}$ ). The total cost of compliance for the annual burden is \$7,580 ( $\$379 \times 10 \text{ hours per response} \times 2 \text{ respondents} = \$7,580$ ).

An estimated 2 respondents will meet certain volume thresholds requiring them to keep records relating to any steps taken to comply with systems capacity, integrity, and security requirements under Rule 301. The Commission estimates that the average compliance burden for each response would be 10 hours of in-house professional work at \$379 per hour. Thus, the total compliance burden per year is 20 hours ( $2 \text{ respondents} \times 10 \text{ hours} = 20 \text{ hours}$ ). The total cost of compliance for the annual burden is \$7,580 ( $\$379 \times 10 \text{ hours per response} \times 2 \text{ respondents} = \$7,580$ ).

An estimated 2 respondents will meet certain volume thresholds requiring them to provide a notice to the Commission to report any system outages, and these notice obligations will be triggered an estimated 5 times per year for each respondent. The Commission estimates that the average compliance burden for each response would be 0.25 hours of in-house professional work at \$379 per hour. Thus, the total compliance burden per year is 2.5 hours ( $2 \text{ respondents} \times 5 \text{ responses each} \times 0.25 \text{ hours} = 2.5 \text{ hours}$ ). The total cost of compliance for the annual burden is \$947.50 ( $\$379 \times 0.25 \text{ hours per response} \times 10 \text{ responses} = \$947.50$ ).

Written comments are invited on (a) whether the proposed collection of information is necessary for the proper performance of the functions of the Commission, including whether the information shall have practical utility;

(b) the accuracy of the Commission's estimates of the burden of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Please direct your written comments to: Thomas Bayer, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F Street NE., Washington, DC 20549, or send an email to: [PRA\\_Mailbox@sec.gov](mailto:PRA_Mailbox@sec.gov).

Dated: November 22, 2013.

**Kevin M. O'Neill,**  
Deputy Secretary.

[FR Doc. 2013-28575 Filed 11-27-13; 8:45 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

### Proposed Collection; Comment Request

Upon Written Request, Copies Available

From: US Securities and Exchange Commission, Office of Investor Education and Advocacy, Washington, DC 20549-0213.

#### Extension:

Form BD-N/Rule 15b11-1, SEC File No. 270-498, OMB Control No. 3235-0556.

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission ("Commission") is soliciting comments on the collection of information summarized below. The Commission plans to submit this existing collection of information to the Office of Management and Budget for extension and approval.

Rule 15b11-1 (17 CFR 240.15b11-1) requires that futures commission merchants and introducing brokers registered with the Commodity Futures Trading Commission that conduct a business in security futures products must notice-register as broker-dealers pursuant to Section 15(b)(11)(A) of the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*). Form BD-N Form

BD-N (17 CFR 249.501b) is the Form by which these entities must notice register with the Commission.

The total annual burden imposed by Rule 15b11-1 and Form BD-N is approximately 16 hours, based on approximately 60 responses (2 initial filings + 58 amendments). Each initial filing requires approximately 30 minutes to complete and each amendment requires approximately 15 minutes to complete. There is no annual cost burden.

The Commission will use the information collected pursuant to Rule 15b11-1 to understand the market for securities futures product and fulfill its regulatory obligations.

Written comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the Commission, including whether the information has practical utility; (b) the accuracy of the Commission's estimate of the burden of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information under the PRA unless it displays a currently valid OMB control number.

Comments should be directed to Thomas Bayer, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F Street NE., Washington, DC 20549, or send an email to: [PRA\\_Mailbox@sec.gov](mailto:PRA_Mailbox@sec.gov). Comments must be submitted within 60 days of this notice.

Dated: November 22, 2013.

**Kevin M. O'Neill,**  
Deputy Secretary.

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## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-70937; File No. SR-NSCC-2013-11]

### Self-Regulatory Organizations; National Securities Clearing Corporation; Notice of Filing of Proposed Rule Change To Add a New Service to the National Securities Clearing Corporation's Obligation Warehouse ("OW") Which Would Pair Off and Close Certain Open Obligations, Reducing the Number of Open Obligations in OW

November 25, 2013.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act")<sup>1</sup> and Rule 19b-4 thereunder,<sup>2</sup> notice is hereby given that on November 14, 2013, National Securities Clearing Corporation ("NSCC") filed with the Securities and Exchange Commission ("Commission") the proposed rule change as described in Items I, II and III below, which Items have been prepared primarily by NSCC. 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

NSCC is proposing to modify its Rules & Procedures ("Rules") to add a new service to NSCC's Obligation Warehouse ("OW") which would pair off and close certain open obligations, reducing the number of open obligations in OW, as more fully described below.

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

In its filing with the Commission, NSCC 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 these statements may be examined at the places specified in Item IV below. NSCC has prepared summaries, set forth in sections (A), (B), and (C) below, of the most significant aspects of such statements.

<sup>1</sup> 15 U.S.C. 78s(b)(1). Defined terms that are not defined in this notice are defined in Exhibit 5 of the proposed rule change filing, available at <http://www.sec.gov/rules/sro/nscc.shtml> under File No. SR-NSCC-2013-02, Additional Materials.

<sup>2</sup> 17 CFR 240.19b-4.