

2. Strategic Planning.
3. Fiscal Year 2003 Integrated Financial Plan.
4. Office of Inspector General Fiscal Year 2003 Budget.
5. Proposed Postal Rate Commission Filings for Targeted Pricing Initiatives.
6. Personnel Matters and Compensation Issues.

Friday, September 6—8:30 a.m. (Open)

1. Minutes of the Previous Meeting, August 5–6, 2002.
2. Remarks of the Postmaster General and CEO.

Friday, September 6—8:30 a.m. (Open)
[continued]

3. Postal Rate Commission Fiscal Year 2003 Budget.
4. Fiscal Year 2002 Borrowing Resolution.
5. Fiscal Year 2003 Annual Performance Plan—Government Performance and Results Act.
6. Fiscal Year 2003 Operating and Financing Plan.
7. Fiscal Year 2003 Capital Investment Plan.
8. Preliminary Fiscal Year 2004 Appropriation Request.
9. Capital Investments.
 - a. General Ledger System Replacement.
 - b. Mixed Delivery and Collection Vehicles.
 - c. Office of Inspector General—Office Space Additional Funding Request.
 - d. 76 Automated Package Processing Systems.
10. Tentative Agenda for the October 7–8, 2002, meeting in Memphis, Tennessee.

CONTACT PERSON FOR MORE INFORMATION:
William T. Johnstone, Secretary of the Board, U.S. Postal Service, 475 L'Enfant Plaza, SW., Washington, DC 20260–1000. Telephone (202) 268–4800.

William T. Johnstone,
Secretary.

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RAILROAD RETIREMENT BOARD

Agency Forms Submitted for OMB Review

Summary: In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35), the Railroad Retirement Board (RRB) has submitted the following proposal(s) for the collection of information to the Office of Management and Budget for review and approval.

Summary of proposal(s):

- (1) *Collection title:* Continuing Disability Report.
- (2) *Form(s) submitted:* G–254, G–254a.
- (3) *OMB Number:* 3220–0187.
- (4) *Expiration date of current OMB clearance:* 11/30/2002.
- (5) *Type of request:* Revision of a currently approved collection.
- (6) *Respondents:* Individuals or households, Business or other for-profit.
- (7) *Estimated annual number of respondents:* 1,500.
- (8) *Total annual responses:* 3,000.
- (9) *Total annual reporting hours:* 748.
- (10) *Collection description:* Under the

Railroad Retirement Act, a disability annuity can be reduced or not paid, depending on the amount of earnings and type of work performed. The collection obtains information about a disabled annuitant's employment and earnings.

Additional Information or Comments: Copies of the forms and supporting documents can be obtained from Chuck Mierzwa, the agency clearance officer (312–751–3363).

Comments regarding the information collection should be addressed to Ronald J. Hodapp, Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois, 60611–2092 and to the OMB Desk Officer for the RRB, at the Office of Management and Budget, Room 10230, New Executive Office Building, Washington, DC 20503.

Chuck Mierzwa,
Clearance Officer.

[FR Doc. 02–22287 Filed 8–29–02; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

Proposed Collection; Comment Request

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of Filings and Information Services, Washington, DC 20549.

Extension:

Rule 31a-2, SEC File No. 270–174, OMB Control No. 3235–0179

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520), 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 (“OMB”) for extension and approval.

Section 31(a)(1) of the Investment Company Act of 1940 (the “Act”) requires registered investment

companies (“funds”) and certain principal underwriters, broker-dealers, investment advisers and depositors of funds to maintain and preserve records as prescribed by Commission rules.¹ Rule 31a-1 specifies the books and records each of these entities must maintain.² Rule 31a-2, which was adopted on April 17, 1944, specifies the time periods that entities must retain books and records required to be maintained under rule 31a-1.³

Rule 31a-2 requires the following:

1. Every fund must preserve permanently, and in an easily accessible place for the first two years, all books and records required under rule 31a-1(b)(1)–(4).⁴

2. Every fund must preserve for at least six years, and in an easily accessible place for the first two years: (a) all books and records required under rule 31a-1(b)(5)–(12);⁵ (b) all vouchers, memoranda, correspondence, checkbooks, bank statements, canceled checks, cash reconciliations, canceled stock certificates and all schedules that support each computation of net asset value of fund shares; and (c) any advertisement, pamphlet, circular, form letter or other sales literature addressed or intended for distribution to prospective investors.

3. Every underwriter, broker or dealer that is a majority-owned subsidiary of a fund must preserve records required to be preserved by brokers and dealers under rules adopted under section 17 of the Securities Exchange Act (“section 17”) for the periods established in those rules.

4. Every depositor of any fund, and every principal underwriter of any fund other than a closed-end fund, must preserve for at least six years records

¹ 15 U.S.C. 80a-30(a)(1).

² 17 CFR 270.31a-1.

³ 17 CFR 270.31a-2.

⁴ 17 CFR 270.31a-1(b)(1)–(4). These include, among other records, journals detailing daily purchases and sales of securities or contracts to purchase and sell securities, general and auxiliary ledgers reflecting all asset, liability, reserve, capital, income and expense accounts, separate ledgers reflecting, separately for each portfolio security as of the trade date all “long” and “short” positions carried by the fund for its own account, and corporate charters, certificates of incorporation and by-laws.

⁵ 17 CFR 270.31a-1(b)(5)–(12). These include, among other records, records of each brokerage order given in connection with purchases and sales of securities by the fund, all other portfolio purchases, records of all puts, calls, spreads, straddles or other options in which the fund has an interest, has granted, or has guaranteed, records of proof of money balances in all ledger accounts, files of all advisory material received from the investment adviser, and memoranda identifying persons, committees or groups authorizing the purchase or sale of securities for the fund.