

## CHART II

Supplier	Product name	Form	Application date
Cambridge Isotopes Laboratories, Inc.	Delta-9-tetrahydrocannabinol (THC) unlabeled (Chemical Purity 95%), 5 mg.	Glass ampule: 5 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-tetrahydrocannabinol (THC) unlabeled (Chemical Purity 95%), 0.5 mg.	Glass ampule: 0.5 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-tetrahydrocannabinol (THC) unlabeled (Chemical Purity 95%), 1 mg.	Glass ampule: 1 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-tetrahydrocannabinol (THC) unlabeled (Chemical Purity 95%), 10 mg.	Glass ampule: 10 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-Trans-tetrahydrocannabinol (THC) (Methyl-D3, 98%), 5 mg .....	Glass ampule: 5 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-Trans-tetrahydrocannabinol (THC) (Methyl-D3, 98%), 0.5 mg .....	Glass ampule: 0.5 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-Trans-tetrahydrocannabinol (THC) (Methyl-D3, 98%), 1 mg .....	Glass ampule: 1 mg .....	2/19/2021
Cambridge Isotopes Laboratories, Inc.	Delta-9-Trans-tetrahydrocannabinol (THC) (Methyl-D3, 98%), 10 mg .....	Glass ampule: 10 mg .....	2/19/2021
Cayman Chemical Company .....	Clonazepam (CRM) 1 mg/mL, 1 mL in acetonitrile .....	Glass ampule: 1 mL .....	2/23/2021
LGC—Dr. Ehrenstorfer .....	Δ9-Tetrahydrocannabivarin 10,000 mg/L Parent stock in Methanol—NOT FOR SALE.	Boston Round, Amber glass: 14 mL	1/19/2021
LGC—Dr. Ehrenstorfer .....	Delta-9-THC 10000 µg/mL in Methanol .....	Amber ampule: 2 mL .....	2/16/2021

## Opportunity for Comment

Pursuant to 21 CFR 1308.23(e), any interested person may submit written comments on or objections to any chemical preparation in this order that has been approved or denied as exempt. If any comments or objections raise significant issues regarding any finding of fact or conclusion of law upon which this order is based, the Assistant Administrator will immediately suspend the effectiveness of any applicable part of this order until he may reconsider the application in light of the comments and objections filed. Thereafter, the Assistant Administrator shall reinstate, revoke, or amend his original order as he determines appropriate.

## Approved Exempt Chemical Preparations Are Posted on the DEA's Website

A list of all current exemptions, including those listed in this order, is available on the DEA's website at [http://www.DEADiversion.usdoj.gov/schedules/exempt/exempt\\_chemlist.pdf](http://www.DEADiversion.usdoj.gov/schedules/exempt/exempt_chemlist.pdf). The dates of applications of all current exemptions are posted for easy reference.

**William T. McDermott,**

*Assistant Administrator.*

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**BILLING CODE 4410-09-P**

## DEPARTMENT OF JUSTICE

## Parole Commission

## Sunshine Act Meeting

## Record of Vote of Meeting Closure

(Public Law 94-409) (5 U.S.C. Sec. 552b)

I, Patricia K. Cushwa, Acting Chairman of the United States Parole Commission, was present at a meeting of said Commission, which started at approximately 2:30 p.m., on Tuesday, July 13, 2021, at the U.S. Parole Commission, 90 K Street NE, Third Floor, Washington, DC 20530. The purpose of the meeting was to discuss an original jurisdiction case pursuant to 28 CFR 2.25. and 28 CFR 2.68(i)(1) Two Commissioners were present, constituting a quorum when the vote to close the meeting was submitted.

Public announcement further describing the subject matter of the meeting and certifications of the General Counsel that this meeting may be closed by votes of the Commissioners present were submitted to the Commissioners prior to the conduct of any other business. Upon motion duly made, seconded, and carried, the following Commissioners voted that the meeting be closed: Patricia K. Cushwa and Charles T. Massarone.

*In witness whereof*, I make this official record of the vote taken to close this meeting and authorize this record to be made available to the public.

**Patricia K. Cushwa,**

*Acting Chairman, U.S. Parole Commission.*

[FR Doc. 2021-15788 Filed 7-20-21; 4:15 pm]

**BILLING CODE 4410-31-P**

## SECURITIES AND EXCHANGE COMMISSION

[Investment Company Act Release No. 34333; 812-15219]

## Capital Southwest Corporation, et al.; Notice of Application

July 16, 2021.

**AGENCY:** Securities and Exchange Commission ("Commission").

**ACTION:** Notice.

Notice of an application for an order under section 6(c) of the Investment Company Act of 1940 (the "Act") for an exemption from sections 18(a) and 61(a) of the Act.

**APPLICANTS:** Capital Southwest Corporation (the "Company"), Capital Southwest SBIC I, LP (the "Capital Southwest SBIC"), and Capital Southwest SBIC I GP, LLC (the "SBIC GP").

**SUMMARY OF THE APPLICATION:** The Company requests an order to permit it to adhere to a modified asset coverage requirement.

**FILING DATES:** The application was filed on April 21, 2021, and amended on July 14, 2021.

**HEARING OR NOTIFICATION OF HEARING:** An order granting the requested relief will be issued unless the Commission orders a hearing. Interested persons may request a hearing by emailing the Commission's Secretary at [Secretaries-Office@sec.gov](mailto:Secretaries-Office@sec.gov) and serving applicants with a copy of the request by email. Hearing requests should be received by the Commission by 5:30 p.m. on August 10, 2021, and should be accompanied by proof of service on applicants, in the form of an affidavit or, for lawyers, a certificate of service. Pursuant to rule 0-

5 under the Act, hearing requests should state the nature of the writer's interest, any facts bearing upon the desirability of a hearing on the matter, the reason for the request, and the issues contested. Persons who wish to be notified of a hearing may request notification by emailing the Commission's Secretary at [Secretaries-Office@sec.gov](mailto:Secretaries-Office@sec.gov).

**ADDRESSES:** Secretary, U.S. Securities and Exchange Commission, *Secretaries-Office@sec.gov*. Applicants: Mr. Bowen S. Diehl, Chief Executive Officer and President, Capital Southwest Corporation, at [bdiehl@capitalsouthwest.com](mailto:bdiehl@capitalsouthwest.com) and Mr. Michael S. Sarnier, Chief Financial Officer, Secretary and Treasurer, Capital Southwest Corporation at [msarnier@capitalsouthwest.com](mailto:msarnier@capitalsouthwest.com).

**FOR FURTHER INFORMATION CONTACT:** Jean E. Minarick, Senior Counsel, at (202) 551-6811, or Kaitlin C. Bottock, Branch Chief, at (202) 551-6825 (Division of Investment Management, Chief Counsel's Office).

**SUPPLEMENTARY INFORMATION:** The following is a summary of the application. The complete application may be obtained via the Commission's website by searching for the file number, or for an applicant using the Company name box, at <http://www.sec.gov/search/search.htm> or by calling (202) 551-8090.

### Applicants' Representations

1. The Company, a Texas corporation, is an internally managed, non-diversified, closed-end management investment company that has elected to be regulated as a business development company ("BDC") under the Act.<sup>1</sup> The Company's investment objective is to produce attractive risk-adjusted returns by generating current income from its debt investments and capital appreciation from its equity and equity related investments.

2. Capital Southwest SBIC, a Delaware limited partnership, received approval for a license from the Small Business Administration ("SBA") to operate as a small business investment company ("SBIC") under the Small Business Investment Act of 1958 ("SBIA"). Capital Southwest SBIC relies on the exclusion from the definition of investment company contained in section 3(c)(7) of the Act. The SBIC GP is the sole general partner of Capital

Southwest SBIC and the Company is the sole member of the SBIC GP. The Company is the sole limited partner of Capital Southwest SBIC. The Company, directly through the SBIC GP, wholly owns Capital Southwest SBIC.

### Applicants' Legal Analysis

1. The Company requests an exemption pursuant to section 6(c) of the Act from the provisions of sections 18(a) and 61(a) of the Act to permit it to adhere to a modified asset coverage requirement with respect to any direct or indirect wholly-owned subsidiary of the Company that is licensed by the SBA to operate under the SBIA as an SBIC and relies on section 3(c)(7) for an exclusion from the definition of "investment company" under the Act (each, a "SBIC Subsidiary").<sup>2</sup> Applicants state that companies operating under the SBIA, such as the Capital Southwest SBIC, are subject to the SBA's substantial regulation of permissible leverage in their capital structure.

2. Section 18(a) of the Act prohibits a registered closed-end investment company from issuing any class of senior security or selling any such security of which it is the issuer unless the company complies with the asset coverage requirements set forth in that section. Section 61(a) of the Act makes section 18 applicable to BDCs, with certain modifications. Section 18(k) exempts an investment company operating as an SBIC from the asset coverage requirements for senior securities representing indebtedness that are contained in section 18(a)(1)(A) and (B).

3. Applicants state that the Company may be required to comply with the asset coverage requirements of section 18(a) (as modified by section 61(a)) on a consolidated basis because the Company may be deemed to be an indirect issuer of any class of senior security issued by Capital Southwest SBIC or another SBIC Subsidiary. Applicants state that applying section 18(a) (as modified by section 61(a)) on a consolidated basis generally would require that the Company treat as its own all assets and any liabilities held directly either by itself, by Capital Southwest SBIC, or by another SBIC Subsidiary. Accordingly, the Company requests an order under section 6(c) of the Act exempting the Company from the provisions of section 18(a) (as modified by section 61(a)), such that

senior securities issued by each SBIC Subsidiary that would be excluded from its individual asset coverage ratio by section 18(k) if it were itself a BDC would also be excluded from the Company's consolidated asset coverage ratio.

4. Section 6(c) of the Act, in relevant part, permits the Commission to exempt any transaction or class of transactions from any provision of the Act if and to the extent that such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act. Applicants state that the requested relief satisfies the section 6(c) standard. Applicants contend that, because the Capital Southwest SBIC would be entitled to rely on section 18(k) if it were a BDC, there is no policy reason to deny the benefit of that exemption to the Company.

### Applicants' Condition

Applicants agree that any order granting the requested relief will be subject to the following condition:

The Company will not itself issue or sell any senior security and the Company will not cause or permit Capital Southwest SBIC or any other SBIC Subsidiary to issue or sell any senior security of which the Company, Capital Southwest SBIC or any other SBIC Subsidiary is the issuer except to the extent permitted by section 18 (as modified for BDCs by section 61); provided that, immediately after the issuance or sale of any such senior security by any of the Company, Capital Southwest SBIC or any other SBIC Subsidiary, the Company, individually and on a consolidated basis, shall have the asset coverage required by section 18(a) (as modified by section 61(a)). In determining whether the Company, Capital Southwest SBIC and any other SBIC Subsidiary on a consolidated basis have the asset coverage required by section 18(a) (as modified by section 61(a)), any senior securities representing indebtedness of Capital Southwest SBIC or another SBIC Subsidiary if that SBIC Subsidiary has issued indebtedness that is held or guaranteed by the SBA shall not be considered senior securities and, for purposes of the definition of "asset coverage" in section 18(h), shall be treated as indebtedness not represented by senior securities.

<sup>1</sup> Section 2(a)(48) defines a BDC to be any closed-end investment company that operates for the purpose of making investments in securities described in section 55(a)(1) through 55(a)(3) of the Act and makes available significant managerial assistance with respect to the issuers of such securities.

<sup>2</sup> All existing entities that currently intend to rely on the order are named as applicants. Any other existing or future entity that may rely on the order in the future will comply with the terms and condition of the order.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

**J. Matthew DeLesDernier,**  
Assistant Secretary.

[FR Doc. 2021-15545 Filed 7-21-21; 8:45 am]

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## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-92433; File No. SR-NASDAQ-2021-058]

### Self-Regulatory Organizations; The Nasdaq Stock Market LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Amend the Exchange's Transaction Credits at Equity 7, Section 118(a)

July 16, 2021.

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 July 8, 2021, The Nasdaq Stock Market LLC ("Nasdaq" or "Exchange") filed with the Securities and Exchange Commission ("SEC" or "Commission") the proposed rule change as described in Items I, II, and III, below, which Items have been prepared by the Exchange. 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 to amend the Exchange's transaction credits at Equity 7, Section 118(a), as described further below. The text of the proposed rule change is available on the Exchange's website at <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules>, 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 Exchange 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. The Exchange has prepared summaries, set forth in sections A, B, and C below, of

the most significant aspects of such statements.

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

##### 1. Purpose

The purpose of the proposed rule change is to amend the Exchange's schedule of credits, at Equity 7, Section 118(a). Specifically, the Exchange proposes to make the following changes with respect to its schedule of credits for displayed quotes/orders (other than Supplemental Orders or Designated Retail Orders) that provide liquidity: (1) Add a new credit of \$0.0028 per share executed; (2) amend the criteria for an existing credit of \$0.0029 per share executed; and (3) eliminate an existing credit of \$0.0029 per share executed. The Exchange also proposes to add two new non-cumulative supplemental credits to members for displayed quotes/orders (other than Supplemental Orders) that provide liquidity, of \$0.0001 and \$0.00015 per share executed, respectively.

##### New Credit for MELO Activity and Adding Liquidity to the Exchange

The Exchange proposes to add a new credit for displayed quotes/orders (other than Supplemental Orders or Designated Retail Orders) that provide liquidity of \$0.0028 per share executed to a member: (i) With shares of liquidity provided in all securities through one or more of its Nasdaq Market Center MPIDs that represent 0.375% or more of Consolidated Volume<sup>3</sup> during the month; (ii) that executes an average daily volume ("ADV") of at least 500,000 shares of Midpoint Extended Life Orders ("M-ELOs")<sup>4</sup> during the month; and (iii) that increases the extent of its ADV of MELO orders in all securities by 100% or more during the month relative to the month of June 2021.

<sup>3</sup> Equity 7, Section 118(a) defines "Consolidated Volume" to mean the total consolidated volume reported to all consolidated transaction reporting plans by all exchanges and trade reporting facilities during a month in equity securities, excluding executed orders with a size of less than one round lot. For purposes of calculating Consolidated Volume and the extent of a member's trading activity the date of the annual reconstitution of the Russell Investments Indexes is excluded from both total Consolidated Volume and the member's trading activity.

<sup>4</sup> Pursuant to Equity 4, Rule 4702(b)(14), a "Midpoint Extended Life Order" is an Order Type with a Non-Display Order Attribute that is priced at the midpoint between the NBBO and that will not be eligible to execute until a minimum period of 10 milliseconds has passed after acceptance of the Order by the System.

The purpose of this new credit is to provide a new means to incent members to provide a substantial amount of liquidity to the Exchange generally as well as to increase the extent to which they engage in MELO activity on the Exchange and grow the extent of such activity over time. An increase in MELO activity and overall liquidity stands to improve the quality of the market generally, and of MELO, in particular, to the benefit of all market participants.

##### Amended Displayed Credit

The Exchange proposes to amend its existing credit of \$0.0029 per share executed to a member: (i) With shares of liquidity provided in all securities through one or more of its Nasdaq Market Center MPIDs that represent more than 0.50% of Consolidated Volume during the month, including shares of liquidity provided with respect to securities that are listed on exchanges other than Nasdaq or NYSE that represent more than 0.10% of Consolidated Volume, and (ii) with at least a 15% ratio of volume that sets the NBBO provided through one or more of its Nasdaq Market Center MPIDs to all displayed volume that provides liquidity through one or more of its Nasdaq Market Center MPIDs. The Exchange first proposes to amend this credit by raising the threshold percentage of Consolidated Volume needed to qualify for the credit from 0.50% to 0.60%. This proposed amendment will encourage those participants that already qualify for the credit to increase the extent to which they add liquidity to the Exchange in order to continue to qualify for it. From time to time, the Exchange believes it is reasonable to recalibrate the criteria for credits such as this one to ensure that the credits remain appropriately challenging for participants to attain in light of changes to their levels of activity on the Exchange.

Second, the Exchange proposes to eliminate the criterion that a member must have at least a 15% ratio of volume that sets the NBBO to all displayed volume that provides liquidity to the Exchange, and to replace it with the requirement that a member add at least 0.175% of Consolidated Volume during the month in non-displayed orders (excluding midpoint orders) for securities in any tape during the month. The Exchange proposes to eliminate the existing criterion because it proved too difficult for members to meet in combination with the other criterion set forth in the credit, and has hindered the credit in achieving its intended effect. The Exchange has limited resources at its disposal to devote to incentives and

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

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