

cards and other correspondence. *Id.* The Adjustment will be a premium offering and will be priced above current First-Class Mail Single-Piece postage rates. *Id.*

The Postal Service states that participating businesses will produce and distribute pre-approved envelopes and postcards according to specific design requirements established by the Postal Service and have the option of increasing the value of the pre-approved envelopes by applying a customized Picture Permit at no additional charge. *Id.* Postage will be paid by participating businesses in two stages: (1) An agreed upon prefunded portion of the total postage when the mailpiece is produced or distributed, and (2) the remaining portion when the Intelligent Mail barcode (IMb) on the mailpiece is scanned during normal processing. *Id.* IMb technology will be used to identify and count each mailpiece during processing, and once scanned, the participating business' Centralized Automated Processing System (CAPS) account will be debited. *Id.* After purchasing the pre-approved envelopes from participating businesses, individual customers can then mail the item without using regular postage. *Id.*

The Postal Service states that it has been conducting research through the Alternate Postage Payment Method for Greeting Cards Market Test.<sup>2</sup> The Postal Service asserts that the market test has been successful and demonstrates the demand for this service as well as verifying the Postal Service's ability to capture the scan data needed to collect postage from participating businesses. Notice at 4. The Postal Service has included as an attachment a redacted version of the most recent data from the Alternate Postage Market Test. *Id.* at Attachment B. In addition, the Postal Service filed as a non-public library reference an unredacted version of the most recent data from the Alternate Postage Market Test.<sup>3</sup>

The Postal Service proposes a tiered pricing approach. Notice at 5. The proposed pricing approach accommodates price tiers that require up to 20 percent, 21–50 percent, and over 50 percent of the postage to be prefunded. *Id.* at 5. The Postal Service also proposes to charge a slightly lower per-piece postage rate when companies

choose a higher prefunding level, thus allowing businesses to choose a prefunding level based on their unique business needs. *Id.* It indicates the starting price differentials between tiers will be small, but may be adjusted in future filings based on customer response.

The Postal Service provides the proposed pricing structure and requests that the Commission set the Alternate Postage rates as described in Table 1. *Id.* at 6. Due to the prevailing uncertainty surrounding First-Class Mail Single-Piece letter and card rates in 2014, the Postal Service states that it does not intend for the Commission to set the Alternate Postage rates in this manner in subsequent years. *Id.* at n.9. In addition, as the ultimate Alternate Postage price is uncertain, the Postal Service has left prices listed in the Mail Classification Schedule (MCS) blank. *Id.*, see also *id.* at Attachment A.

**Impact on the price cap.** The Postal Service states that the planned prices have no impact on price cap issues because they do not change the prices for any existing First-Class Mail price categories. *Id.* at 6. Therefore, it made no cap or price change calculations as described in rules 3010.14(b)(1) through (4). *Id.* at 7.

**Objectives and factors, workshare discounts, and preferred rates.** The Postal Service lists the relevant objectives and factors of 39 U.S.C. 3622, and claims the Adjustment does not substantially alter the degree to which First-Class Mail prices already address the objectives and factors. *Id.* at 7–11. In particular, the Postal Service contends that the Adjustment is an example of the increased pricing flexibility under the Postal Accountability and Enhancement Act (objective 4), and will encourage new mail volumes, which will have the effect of enhancing the financial position of the Postal Service (objective 5). *Id.* at 10. Similarly, the Postal Service claims that the Adjustment encourages increased mail volume (factors 1 and 7) and, by providing a more convenient option for sending letters and cards, with additional postage exceeding any additional costs, will help First-Class Mail cover attributable costs (factor 2). *Id.* at 10–11. Finally, the Postal Service states the Adjustment's use of an IMb to collect postage will promote use of Intelligent Mail (factor 13). *Id.* at 11.

**Workshare discounts and preferred rates.** According to the Postal Service, the Adjustment will not impact current workshare discounts and no preferred rates are implicated. *Id.* at 11.

**Mail Classification Schedule (MCS).** The Postal Service provides proposed

MCS language in Attachment A of its Notice.

### III. Commission Action

The Commission establishes Docket No. R2014–1 to consider all matters related to the Notice. The Commission's rules provide for a 20-day comment period starting from the date of the filing of the Notice. See 39 CFR 3010.13(a)(5). Interested persons may express views and offer comments on whether the planned changes are consistent with the policies of 39 U.S.C. 3622 and 39 CFR part 3010. Comments are due no later than November 25, 2013.

The Commission appoints Sean C. Duffy to represent the interests of the general public in this proceeding.

### IV. Ordering Paragraphs

*It is ordered:*

1. The Commission establishes Docket No. R2014–1 to consider matters raised by the Postal Service's November 5, 2013 Notice.

2. Interested persons may submit comments on the planned price category implementation. Comments are due no later than November 25, 2013.

3. Pursuant to 39 U.S.C. 505, Sean C. Duffy is appointed to serve as an officer of the Commission (Public Representative) to represent the interests of the general public in this proceeding.

4. The Secretary shall arrange for publication of this notice in the **Federal Register**.

By the Commission.

**Ruth Ann Abrams,**  
*Acting Secretary.*

[FR Doc. 2013–27282 Filed 11–14–13; 8:45 am]

**BILLING CODE 7710–FW–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 103; SEC File No. 270–410, OMB Control No. 3235–0466.

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 (“PRA”) (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission (“Commission”) is soliciting comments on the existing collection of information provided for in Rule 103 of Regulation

<sup>2</sup> See Docket No. MT2011–1, Order No. 617, Order Approving Market Test of Alternate Postage Payment Method for Greeting Cards, December 21, 2010; see also Docket No. MT2011–1, Order No. 1577, Order Granting Motion Concerning Market Test, December 13, 2012.

<sup>3</sup> See Notice of the United States Postal Service of Filing of Non-Public Library Reference USPS–LR–R2014–1/CP1, November 5, 2013. This filing also included an application for non-public treatment of materials.

M (17 CFR 242.103), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*). The Commission plans to submit this existing collection of information to the Office of Management and Budget ("OMB") for extension and approval.

Rule 103—Nasdaq Passive Market Making—permits passive market-making in Nasdaq securities during a distribution. A distribution participant that seeks use of this exception would be required to disclose to third parties its intention to engage in passive market making.

There are approximately 255 respondents per year that require an aggregate total of 255 hours to comply with this rule. Each respondent makes an estimated 1 annual response. Each response takes approximately 1 hour to complete. Thus, the total compliance burden per year is 255 burden hours. The total estimated internal labor cost of compliance for the respondents is approximately \$16,065.00, resulting in an estimated internal labor cost of compliance per response of approximately \$63.00 (i.e., \$16,065.00/255 responses).

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 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.

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 8, 2013.

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

[FR Doc. 2013-27326 Filed 11-14-13; 8:45 am]

BILLING CODE 8011-01-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 101

SEC File No. 270-408, OMB Control No. 3235-0464.

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 ("PRA") (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission ("Commission") is soliciting comments on the existing collection of information provided for in Rule 101 of Regulation M (17 CFR 242.101), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*). The Commission plans to submit this existing collection of information to the Office of Management and Budget ("OMB") for extension and approval.

Rule 101—Activities by Distribution Participants—prohibits distribution participants from purchasing activities at specified times during a distribution of securities. Persons otherwise covered by this rule may seek to use several applicable exceptions such as a calculation of the average daily trading volume of the securities in distribution, the maintenance of policies regarding information barriers between their affiliates, and the maintenance of a written policy regarding general compliance with Regulation M for de minimus transactions.

There are approximately 1,762 respondents per year that require an aggregate total of 34,525 hours to comply with this rule. Each respondent makes an estimated 1 annual response. Each response takes on average approximately 19.594 hours to complete. Thus, the total compliance burden per year is 34,525 burden hours. The total estimated internal labor cost of compliance for the respondents is approximately \$2,175,075.00, resulting in an estimated internal labor cost of compliance for each respondent per response of approximately \$1,234.435 (i.e., \$2,175,075.00/1,762 responses).

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 under the PRA 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 8, 2013.

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

[FR Doc. 2013-27324 Filed 11-14-13; 8:45 am]

BILLING CODE 8011-01-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:

Form 5 SEC File No. 270-323, OMB Control No. 3235-0362.

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 ("PRA") (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 ("OMB") for extension and approval.

Under Section 16(a) of the Securities Exchange Act of 1934 ("Exchange Act") (15 U.S.C. 78a *et seq.*) every person who is directly or indirectly the beneficial owner of more than 10 percent of any class of any equity security (other than an exempted security) which registered pursuant to Section 12 of the Exchange Act, or who is a director or an officer of the issuer of such security (collectively "reporting persons"), must file statements setting forth their security holdings in the issuer with the Commission. Form 5 (17 CFR 249.105)