

unlisted trading privileges ("OTC/UTP") pilot program for trading activity during regular trading hours.⁴ SCCP expects that some of its margin members will be registered in certain of the eligible Nasdaq NM securities once the Phlx begins trading Nasdaq NM securities again.

It also should be noted that no other aspects of the SCCP procedures respecting Rule 9 are being modified. The rule change establishes a margin financing threshold rate of 25 percent for margin members registered as specialists or alternative specialists in certain Nasdaq NM securities.

II. Discussion

Section 17A(b)(3)(F)⁵ of the Act requires that the rules of a clearing agency be designed to assure the safeguarding of securities and funds which are in the custody or control of the clearing agency or for which the clearing agency is responsible. Once the Phlx begins trading Nasdaq NM securities again, it will be prudent for SCCP to require a higher margin financing threshold rate (25 percent) for Nasdaq NM securities than for exchange listed securities (15 percent).⁶ Accordingly, the Commission finds that the higher margin financing threshold rate for Nasdaq NM securities should help SCCP meet its statutory safeguarding obligations.

III. Conclusion

On the basis of the foregoing, the Commission finds that the proposal is consistent with the requirements of the Act and in particular with the requirements of section 17A(b)(3)(F) of the Act and the rules and regulations thereunder.

It is therefore ordered, pursuant to Section 19(b)(2) of the Act, that the proposed rule change (File No. SR-SCCP-2001-06) be and hereby is approved.

For the Commission by the Division of Market Regulation, pursuant to delegated authority.⁷

Margaret H. McFarland,
Deputy Secretary.

[FR Doc. 02-1106 Filed 1-15-02; 8:45 am]

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⁴ Securities Exchange Act Release No. 45182 (December 20, 2001), 66 FR 67609 (December 31, 2001) [File No. SR-Phlx-00-20]

⁵ 15 U.S.C. 78q-1(b)(3)(F).

⁶ SCCP recently reviewed volatility levels for the Nasdaq 100 index and Nasdaq Composite index as compared to the Dow Jones Industrial average and the NYSE Composite index indicated significantly higher volatility levels over 10 day, 20 day, 50 day, and 90 day time periods.

⁷ 17 CFR 200.30-3(a)(12).

SMALL BUSINESS ADMINISTRATION

Data Collection Available for Public Comments and Recommendations

ACTION: Notice and request for comments.

SUMMARY: In accordance with the Paperwork Reduction Act of 1995, this notice announces the Small Business Administration's intentions to request approval on a new, and/or currently approved information collection.

DATES: Submit comments on or before March 18, 2002.

ADDRESSES: Send all comments regarding whether this information collection is necessary for the proper performance of the function of the agency, whether the burden estimates are accurate, and if there are ways to minimize the estimated burden and enhance the quality of the collection, to Carol Walker, Chief, Office of Civil Rights Compliance Small Business Administration, 409 3rd Street, SW., Suite 6400, Washington DC 20416

FOR FURTHER INFORMATION CONTACT: Carol Walker, Chief, Civil Rights Compliance (202) 205-7149 or Curtis B. Rich, Management Analyst, (202) 205-7030.

SUPPLEMENTARY INFORMATION:

Title: Notice to New Borrowers.

Form No: 793.

Description of Respondents:

Companies are requested to keep records in order for SBA to determine the compliance status of recipient.

Annual Responses: 24,985.

Annual Burden: 5,767.

ADDRESSES: Send all comments regarding whether these information collections are necessary for the proper performance of the function of the agency, whether the burden estimates are accurate, and if there are ways to minimize the estimated burden and enhance the quality of the collections, to Sandra Johnston, Program Analyst, Office of Financial Assistance Small Business Administration, 409 3rd Street, SW., Suite 8300, Washington DC 20416.

FOR FURTHER INFORMATION CONTACT: Sandra Johnston, Program Analyst (202) 205-7528 or Curtis B. Rich, Management Analyst, (202) 205-7030.

Title: Statement of Personal History.

Form No: 1081.

Description of Respondents: Certified Development Companies.

Annual Responses: 300.

Annual Burden: 75.

Title: Servicing Agent Agreement.

Form No: 1506.

Description of Respondents: Certified Development Companies.

Annual Responses: 4,200.

Annual Burden: 4,200.

Jacqueline White,

Chief, Administrative Information Branch.

[FR Doc. 02-1133 Filed 1-15-02; 8:45 am]

BILLING CODE 8025-01-P

SMALL BUSINESS ADMINISTRATION

Public Federal Regulatory Enforcement Fairness Roundtable; Region IV Regulatory Fairness Board

The Small Business Administration Region IV Regulatory Fairness Board and the SBA Office of the National Ombudsman, will hold a Public Roundtable on Thursday, January 17, 2002 at 1 p.m. at Capital Plaza Holiday Inn, 405 Wilkinson Blvd., Frankfort, Kentucky 40601, to provide small business owners and representatives of trade associations with an opportunity to share information concerning the federal regulatory enforcement and compliance environment.

Anyone wishing to attend or to make an oral presentation must contact Jeri Grant in writing or by fax, in order to be put on the agenda. Jeri Grant, Kentucky District Office, U.S. Small Business Administration, Room 188, 600 Dr. Martin Luther King, Jr. Place, Louisville, KY 40202, Phone (502) 582-5971 ext. 224, fax (502) 582-5009, e-mail jeri.grant@sba.gov.

For more information see our web site at http://www.sba.gov/ombudsman/events/dsp_roundtable.html.

Steve Tupper,

Committee Management Officer.

[FR Doc. 02-1045 Filed 1-15-02; 8:45 am]

BILLING CODE 8025-01-P

SMALL BUSINESS ADMINISTRATION

Region V—Minnesota District Advisory Council Public Meeting

The Small Business Administration Region V Minnesota District Advisory Council, located in the geographical area of Minneapolis, Minnesota, will hold a public meeting at 11:30 a.m. central time on Friday, February 8, 2002, at Maria's Café, 1113 Franklin Avenue East, Minneapolis, MN 55404, to discuss such matters as may be presented by members, staff of the Small Business Administration, or others present.

Anyone wishing to make an oral presentation to the Board must contact Edward A. Daum, District Director, in writing by letter or fax no later than February 7, 2002, in order to be put on the agenda. Edward A. Daum, District