

- Rule 15c3-1(e)—Withdrawals of equity capital.
- Rule 15c3-3(i)—Special Reserve Bank Account.
 - Rule 17a-4(f)(2)(i); Rule 17a-4(f)(3)(vii)—Electronic storage media.
 - Rule 17a-5(f)(4)—Replacement of accountant.
 - Rule 17a-11(b)—Net capital deficiency.
 - Rule 17a-11(c)(1)—Aggregate indebtedness is in excess of 1200 percent of net capital.
 - Rule 17a-11(c)(2)—Net capital is less than 5 percent of aggregate debit items.
 - Rule 17a-11(c)(3)—Net capital is less than 120 percent of required minimum dollar amount.
 - Rule 17a-11(d)—Failure to make and keep current books and records.
 - Rule 17a-11(e)—Material inadequacy in accounting systems, internal controls, or practices and procedures.

The proposed rule change was published for comment in the **Federal Register** on August 22, 2006.⁴ A correction was published on September 22, 2006.⁵ This order approves the proposed rule change.

The Commission received two comment letters in response to the proposed rule change.⁶ Mr. Akridge supported the proposal. Wulff, Hansen supported the general purpose of the rule change, but stated that converting documents that exist only in paper form to electronic format could be burdensome for firms that do not have the necessary technology. On October 5, 2006, the NASD filed a response to the comment letters.⁷ In its response, the NASD stated that it intends to accommodate firms that do not have the ability to convert documents to electronic format. Further, the NASD stated that when technologies change, the NASD will consider the economic

effect of the new technologies and consult with its members regarding requiring filings that use the new technologies.

The Commission finds that the NASD's proposal to adopt NASD Rule 3170 is consistent with the requirements of the Act and the rules and regulations under the Act applicable to a national securities exchange.⁸ In particular, the Commission believes that the proposal is consistent with section 15A(b)(6) of the Act,⁹ which requires, among other things, that NASD rules must be designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, and, in general, to protect investors and the public interest in that the proposed rule change will establish a cost-saving and efficient method of filing these notices that will enhance the speed and efficiency of processing the notices and reduce administrative costs.

The NASD will issue a *Notice to Members* and other member communications, as appropriate, to advise its members which regulatory notices or documents members will be required to file or submit electronically to the NASD and the date on which electronic filing or submission of these notices or documents will be required. These communications will also advise members that as of the specified date, electronic filing or submission of the specified regulatory notices or documents will be mandatory, and that the NASD will no longer accept facsimile or other non-electronic transmissions of these notices or documents.

It is therefore ordered, pursuant to section 19(b)(2) of the Act,¹⁰ that the proposed rule change (SR-NASD-2006-060) is approved.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.¹¹

Nancy M. Morris,
Secretary.

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Social Security Administration

Agency Information Collection Activities: Proposed Request and Comment Request

The Social Security Administration (SSA) publishes a list of information collection packages that will require clearance by the Office of Management and Budget (OMB) in compliance with Pub. L. 104-13, the Paperwork Reduction Act of 1995, effective October 1, 1995. The information collection packages that may be included in this notice are for new information collections, approval of existing information collections, revisions to OMB-approved information collections, and extensions (no change) of OMB-approved information collections.

SSA is soliciting comments on the accuracy of the agency's burden estimate; the need for the information; its practical utility; ways to enhance its quality, utility, and clarity; and on ways to minimize burden on respondents, including the use of automated collection techniques or other forms of information technology. Written comments and recommendations regarding the information collection(s) should be submitted to the OMB Desk Officer and the SSA Reports Clearance Officer. The information can be mailed and/or faxed to the individuals at the addresses and fax numbers listed below: (OMB) Office of Management and Budget, Attn: Desk Officer for SSA, Fax: 202-395-6974.

(SSA) Social Security Administration, DCFAM, Attn: Reports Clearance Officer, 1333 Annex Building, 6401 Security Blvd., Baltimore, MD 21235; Fax: 410-965-6400.

I. The information collections listed below are pending at SSA and will be submitted to OMB within 60 days from the date of this notice. Therefore, your comments should be submitted to SSA within 60 days from the date of this publication. You can obtain copies of the collection instruments by calling the SSA Reports Clearance Officer at 410-965-0454 or by writing to the address listed above.

1. *Statement of Household Expenses and Contributions—20 CFR 416.1130-416.1148—0960-0456.* SSA needs the information about household expenses and contributions, which is collected on Form SSA-8011-F3, to determine whether the claimant or beneficiary receives in-kind support and maintenance. This is necessary to determine the claimant's or beneficiary's eligibility for Supplemental Security Income (SSI) and the amount of benefits payable.

Commission, dated May 16, 2006. The staff of the Division of Market Regulation is issuing a no-action letter providing such relief. See letter from Michael A. Macchiaroli, Associate Director, Division of Market Regulation, Commission, to Patrice Gliniecki, Senior Vice President and General Counsel, NASD, dated October 26, 2006. Electronic filing of notices with the NASD does not affect requirements in these rules to file notices with the Commission or other securities regulatory agencies.

⁴ See Securities Exchange Act Release No. 54319 (August 15, 2006), 71 FR 48958 (SR-NASD-2006-060).

⁵ See Securities Exchange Act Release No. 54319A (September 18, 2006), 71 FR 55537 (SR-NASD-2006-060).

⁶ See e-mail dated August 31, 2006 from Frank Akridge Jr. ("Mr. Akridge") and letter dated September 7, 2006 from Chris Charles, President, Wulff, Hansen & Co. ("Wulff, Hansen").

⁷ See letter from Shirley H. Weiss, Office of General Counsel, NASD, to Katherine A. England, Division of Market Regulation, Commission.

⁸ In approving this proposed rule change, the Commission has considered the proposed rule's impact on efficiency, competition, and capital formation. See 15 U.S.C. 78c(f).

⁹ 15 U.S.C. 78o-3(b)(6).

¹⁰ 15 U.S.C. 78s(b)(2).

¹¹ 17 CFR 200.30-3(a)(12).

This form is not used for all claims and posteligibility determinations; rather, it is used only when it is necessary to document in-kind support and maintenance and only in cases where the householder's corroboration is needed. Respondents are SSI applicants and/or beneficiaries.

Type of Request: Extension of an OMB-approved information collection.

Number of Respondents: 400,000.

Frequency of Response: 1.

Average Burden per Response: 15 minutes.

Estimated Annual Burden: 100,000 hours.

2. *Representative Payee Report of Benefits and Dedicated Account—20 CFR 416.546, 416.635, 416.640, 416.665—0960-0576.* The Social Security Act provides for representative payees (RPs) to submit a written report accounting for the use of money paid to Supplemental SSI beneficiaries, and that RPs must establish and maintain a dedicated account for these payments. The SSA-6233 is used to ensure that the RP is using the benefits received for the beneficiary's current maintenance and personal needs, and the expenditures of funds from the dedicated account are in compliance with the law. Respondents are representative payees for SSI beneficiaries.

Type of Request: Extension of an OMB-approved information collection.

Number of Respondents: 30,000.

Frequency of Response: 1.

Average Burden per Response: 20 minutes.

Estimated Annual Burden: 10,000 hours.

3. *Request for Reinstatement (Title II)—20 CFR 404.1592b—404.1592f—0960-NEW.* Form SSA-371 is used by former beneficiaries for Title II benefits who wish to request Expedited Reinstatement (EXR) of their Title II disability benefits. SSA uses the SSA-371 to obtain a signed statement from the individual stating a request for EXR and to verify that the applicant meets the EXR requirements. The form will be maintained in the disability folder of the applicant to demonstrate that the individual was aware of the EXR requirements and chose to request EXR. Respondents are applicants for EXR of Title II disability benefits.

Type of Request: Existing Information Collection in Use Without an OMB Number.

Number of Respondents: 10,000.

Frequency of Response: 1.

Average Burden per Response: 2 minutes.

Estimated Annual Burden: 333 hours.

4. *Request for Reinstatement (Title XVI)—20 CFR 416.999—416.999d—*

0960-NEW. Form SSA-372 is used by former SSI claimants who wish to request Expedited Reinstatement (EXR) of their Title XVI disability payments. SSA uses the SSA-372 to obtain a signed statement from the individual stating a request for EXR and to verify that the requestor meets the EXR requirements. The form will be maintained in the disability folder of the applicant to demonstrate that the individual was aware of the EXR requirements and chose to request EXR. Respondents are applicants for EXR of Title XVI SSI payments.

Type of Request: Existing Information Collection in Use Without an OMB Number.

Number of Respondents: 2,000.

Frequency of Response: 1.

Average Burden per Response: 2 minutes.

Estimated Annual Burden: 67 hours.

5. *Non-Attorney Representative Demonstration Project Application—0960-0669.* Section 303 of the Social Security Protection Act of 2004 (SSPA) provides for a 5-year demonstration project to be conducted by SSA under which the direct payment of SSA-approved fees is extended to certain non-attorney claimant representatives. Under the SSPA, to be eligible for direct payment of fees, a non-attorney representative must fulfill the following statutory requirements: (1) Possess a bachelors degree or have equivalent qualifications derived from training and work experience; (2) pass an examination that tests knowledge of the relevant provisions of the Social Security Act; (3) secure professional liability insurance or equivalent insurance; (4) pass a criminal background check (information on these 4 requirements will be collected during initial reporting); (5) demonstrate completion of relevant continuing education courses (this information will be collected under the Continuing Education (CE) reporting), and (6) complete an annual Affirmations Worksheet to verify the participant's continued eligibility to participate in the demonstration project.

SSA collects this information through the services of a private contractor and uses it to determine if a non-attorney representative has met and continues to meet the statutory requirements to be eligible for direct payment of fees for his or her claimant representation services. The respondents are non-attorney representatives who apply for direct payment of fees.

Type of Request: Revision of an existing information collection.

Application Reporting

Number of Respondents: 500.

Frequency of Response: 1.

Average Burden per Response: 60 minutes.

Estimated Annual Burden: 500 hours.

CE Reporting

Number of Respondents: 300.

Frequency of Response: 1.

Average Burden per Response: 30 minutes.

Estimated Annual Burden: 150 hours.

Annual Reaffirmations Worksheet

Number of Respondents: 450.

Frequency of Response: 1.

Average Burden per Response: 10 minutes.

Estimated Annual Burden: 75 hours.

Total burden hours for all collection activities—725 hours.

II. The information collections listed below have been submitted to OMB for clearance. Your comments on the information collections would be most useful if received by OMB and SSA within 30 days from the date of this publication. You can obtain a copy of the OMB clearance packages by calling the SSA Reports Clearance Officer at 410-965-0454, or by writing to the address listed above.

1. *Employment Relationship Questionnaire—20 CFR 404.1007—0960-0040.* Form SSA-7160-F4 is used in developing the question of employer-employee relationships, except where the worker is an officer of a corporation. This form gathers the information needed for developing the employment relationship, and determining whether a beneficiary is self-employed or an employee. Respondents are beneficiaries questioning their status as employees and employers.

Type of Request: Extension of an OMB-approved information collection.

Number of Respondents: 16,000.

Frequency of Response: 1.

Average Burden per Response: 25 minutes.

Estimated Annual Burden: 6,667 hours

2. *Vocational Rehabilitation Provider Claim—20 CFR 404.2108(b), 404.2117(c)(1)&(2), 404.2101(b)&(c), 404.2121(a), 416.2208(b), 416.2217(c)(1)&(2), 416.2201(b)&(c), 416.2221(a)—0960-0310.* The Social Security Administration (SSA) refers certain disability beneficiaries to State Vocational Rehabilitation (VR) agencies. The State VR agencies use the SSA-199 to make claims for reimbursement of the costs incurred from providing VR services for the beneficiaries. The information collected on the SSA-199 is

used by SSA to determine whether or not, and how much, to pay the State VR agencies under SSA's VR program.

Respondents are State VR agencies who offer Vocational and Employment services for SSA beneficiaries.

Type of Request: Revision of an OMB-approved information collection.
Number of Respondents: 80.

Type of response (as explained below)	Number of respondents	Frequency of response	Total responses	Average burden per response (minutes)	Estimated annual burden hours
a. (404.2108 and 416.2208)	80	160 each/year	12,800	23	4,907
b. (404.2117 and 416.2217)	80	1 per year	80	60	80
c. (404.2121 and 416.2221)	80	2-3 per year	200	100	333
Total	80	13,080	5,320

Estimated Annual Burden: 5,320 hours.

3. *Pilot Program for Participating in Administrative Law Judge Hearings by Using Privately Owned Video Teleconferencing (VTC) Equipment—20 CFR 404.936(c) & 416.1436(c)—0960-NEW.*

Background

On February 3, 2003, the Commissioner of Social Security published a final rule allowing SSA to conduct hearings before administrative law judges (ALJs) at which a party or parties to the hearing and/or a witness or witnesses may appear before the ALJ by video teleconferencing (68 FR No. 22,521). In that final rule we noted that dialing into SSA's VTC network from private facilities, such as facilities owned by a law firm, could be possible at a future date. Appearances by video

teleconference are also central to the rules for the new disability determination process (final rule published March 31, 2006 71 FR No. 62,16423). Pursuant to these rules, SSA is now preparing to pilot a program wherein private representatives and their clients may appear at ALJ hearings using privately owned video equipment.

The VTC Activity

SSA plans to expand its Video Teleconferencing program of Administrative Law Judge hearings by allowing these hearings to be conducted from private representative sites that have been certified by the agency. Representatives who are interested in participating in the pilot program or the permanent program will need to provide some basic information about their location, the area they serve and their expected workload. Because private

video sites are being used, the pilot guidelines provide for site inspections, certain on-the-record certifications and other claimant safeguards to help ensure that no claimants are disadvantaged by participating in their hearing from a private site. Respondents to this collection will be the claimant's representatives who elect to participate in the pilot. The pilot is structured to begin with 10 private video sites expanding to 30 private sites after a six-month evaluation period. There will be a second evaluation period after the 30 sites have operated for a six-month period. SSA will then make final decisions regarding operating procedures for a permanent program.

Type of Request: New Information Collection.

Total Burden Hours for all Collections: 717 burden hours (shown below).

PHASE-I

[10 sites for 6 months]

Collection activity	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated annual burden hours
Expression of Interest/Initial Contact	100	1	15	25
Certifications Made in the Opening Statement of the Hearing	10	100	10	167
Totals	110	192

PHASE-II

[30 sites for 6 months]

Collection activity	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated annual burden hours
Expression of Interest/Initial Contact	100	1	15	25
Certifications Made in the Opening Statement of the Hearing	30	100	10	500
Totals	130	525

The estimated first year cost burden for all respondents to participate in the Privately Owned VTC Equipment pilot

is—\$450,000. This cost figure represents the agency's estimated for respondents to purchase and maintain video

conferencing equipment, a FAX machine and a document camera as well

as the cost of an ISDN line or other data connection to the public network.

Dated: October 26, 2006.

Elizabeth A. Davidson,

Reports Clearance Officer, Social Security Administration.

[FR Doc. E6-18322 Filed 10-31-06; 8:45 am]

BILLING CODE 4191-02-P

SOCIAL SECURITY ADMINISTRATION

[Document No. 2006-SSA-0093]

The Ticket To Work and Work Incentives Advisory Panel Meeting

AGENCY: Social Security Administration (SSA).

ACTION: Notice of quarterly meeting.

DATES: November 15, 2006—9 a.m. to 5 p.m.

November 16, 2006—1:30 p.m. to 5 p.m.

November 17, 2006—8:30 a.m. to 12 noon.

ADDRESSES: Washington Plaza Hotel, 10 Thomas Circle, NW., Washington, DC 20005.

Phone: 202-842-1300.

SUPPLEMENTARY INFORMATION: *Type of meeting:* On November 15-17, 2006, the Ticket to Work and Work Incentives Advisory Panel (the "Panel") will hold a quarterly meeting open to the public.

Purpose: In accordance with section 10(a)(2) of the Federal Advisory Committee Act, the Social Security Administration (SSA) announces a meeting of the Ticket to Work and Work Incentives Advisory Panel. Section 101(f) of Public Law 106-170 establishes the Panel to advise the President, the Congress, and the Commissioner of SSA on issues related to work incentive programs, planning, and assistance for individuals with disabilities as provided under section 101(f)(2)(A) of the TWWIA. The Panel is also to advise the Commissioner on matters specified in section 101(f)(2)(B) of that Act, including certain issues related to the Ticket to Work and Self-Sufficiency Program established under section 101(a) of that Act.

Interested parties are invited to attend the meeting. The Panel will use the meeting time to receive briefings and presentations on matters of interest, conduct full Panel deliberations on the implementation of the Act and receive public testimony.

The Panel will meet in person commencing on Wednesday, November 15, 2006, from 9 a.m. until 5 p.m. The quarterly meeting will continue on Thursday, November 16, 2006, from 1:30 p.m. until 5 p.m. and on Friday,

November 17, 2006, from 8:30 a.m. until 12 noon.

Agenda: The full agenda will be posted at least one week before the start of the meeting on the Internet at http://www.ssa.gov/work/panel/meeting_information/agendas.html, or can be received, in advance, electronically or by fax upon request. Public testimony will be heard on Thursday, November 16, 2006, from 4 p.m. until 5 p.m. Individuals interested in providing testimony in person should contact the Panel staff as outlined below to schedule a time slot. Members of the public must schedule a time slot in order to comment. In the event public comments do not take the entire scheduled time period, the Panel may use that time to deliberate or conduct other Panel business. Each individual providing public comment will be acknowledged by the Chair in the order in which they are scheduled to testify and is limited to a maximum five-minute, verbal presentation.

Full written testimony on the Implementation of the Ticket to Work and Work Incentives Program, no longer than five (5) pages, may be submitted in person or by mail, fax or e-mail on an ongoing basis to the Panel for consideration.

Since seating may be limited, persons interested in providing testimony at the meeting should contact the Panel staff by e-mailing Ms. Tinya White-Taylor, at Tinya.White-Taylor@ssa.gov or by calling (202) 358-6420.

Contact Information: Records are kept of all proceedings and will be available for public inspection by appointment at the Panel office. Anyone requiring information regarding the Panel should contact the staff by:

- Mail addressed to the Social Security Administration, Ticket to Work and Work Incentives Advisory Panel Staff, 400 Virginia Avenue, SW., Suite 700, Washington, DC 20024.
- Telephone contact with Tinya White-Taylor at (202) 358-6420.
- Fax at (202) 358-6440.
- E-mail to TWWIAPanel@ssa.gov.

Dated: October 24, 2006.

Chris Silanskis,

Designated Federal Officer.

[FR Doc. 06-8995 Filed 10-31-06; 8:45 am]

BILLING CODE 4191-02-M

DEPARTMENT OF STATE

[Public Notice 5601]

Notice of Effective Date for Implementation of Five-Year Professor and Research Scholar Exchange Program

AGENCY: Department of State.

ACTION: Notice.

SUMMARY: By final rule adopted May 19, 2005, 70 FR 28815, the Department of State amended its regulations and extended the permitted program duration from three to five years for professor and researcher participants in the Exchange Visitor Program. This rule also established clear eligibility requirements for repeat participation as a professor or researcher in the Exchange Visitor Program following a two-year bar. Implementation of these changes was delayed until the Department of Homeland Security could complete modifications to the Student and Exchange Visitor Information System (SEVIS) necessary to permit these changes to be reflected in SEVIS. By SEVIS broadcast on October 6th, 2006, The Department of Homeland Security announced its ability to facilitate these changes effective November 4, 2006.

Accordingly, as of November 4, 2006, current and future professor and researcher program participants will be eligible for five years of program participation as provided for in the final rule. These participants will also be subject to the eligibility requirements for repeat participation set forth in the final rule. Requirements governing initial eligibility for participation as a professor or researcher are unchanged.

The final rule published May 19, 2005 also established a new "G-7" administrative classification for certain program sponsors. The Department will contact directly those sponsors eligible for the classification. No action, inquiry, or request regarding this classification is necessary on the part of existing sponsors. This certification will be published in the **Federal Register**.

Dated: October 25, 2006.

Stanley S. Colvin,

Director, Office of Exchange Coordination and Designation, Department of State.

[FR Doc. E6-18409 Filed 10-31-06; 8:45 am]

BILLING CODE 4710-05-P