

(located on F Street) on business days between 7 a.m. and 5 p.m.

Additionally, please send a copy of your comments by mail to: OCC Desk Officer, 1557-0124 or 3064-0026, U.S. Office of Management and Budget, 725 17th Street NW., #10235, Washington, DC 20503, or by email to: [oir\\_submission@omb.eop.gov](mailto:oir_submission@omb.eop.gov).

**Public Inspection:** All comments received will be posted without change to <http://www.fdic.gov/regulations/laws/federal/notices.html> including any personal information provided.

**FOR FURTHER INFORMATION CONTACT:** For further information about the information collection discussed in this notice, please contact any of the agency clearance officers whose names appear below.

**OCC:** Johnny Vilela or Mary H. Gottlieb, OCC Clearance Officers, (202) 649-5490, Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 400 7th Street SW., Suite 3E-218, Mail Stop 9W-11, Washington, DC 20219.

**FDIC:** Gary A. Kuiper, (202) 898-3877, Legal Division, Federal Deposit Insurance Corporation, 550 17th Street NW., NYA-5046, Washington, DC 20429.

**SUPPLEMENTARY INFORMATION:** In compliance with 44 U.S.C. 3507, the OCC and FDIC are submitting the following proposed collection of information to OMB for review and clearance.

**Report Title:** Transfer Agent Registration and Amendment Form.

**Form Number:** TA-1.

**Frequency of Response:** On occasion.

**Affected Public:** Business or other for-profit.

**Estimated Time per Response:** 1.25 hours: registration, 10 minutes: amendment.

## OCC

**OMB Number:** 1557-0124.

**Estimated Number of Respondents:** 2 registrations, 15 amendments.

**Estimated Total Annual Burden:** 6 hours.

## FDIC

**OMB Number:** 3064-0026.

**Estimated Number of Respondents:** 2 registrations, 13 amendments.

**Estimated Total Annual Burden:** 5 hours.

## Abstract

The Securities Exchange Act of 1934 (Act) requires any person acting as a transfer agent to register as such and to amend registration information when it changes. Section 17A(c) of the Act

requires all transfer agents for securities registered under section 12 of the Act to register "by filing with the appropriate regulatory agency . . . an application for registration in such form and containing such information and documents . . . as such appropriate regulatory agency may prescribe as necessary or appropriate in furtherance of the purposes of this section." In general, an entity performing transfer agent functions for a security is required to register if the security is registered on a national securities exchange and if the issuer has total assets of \$10 million or more and a class of equity security held of record by 500 or more persons.

## General Description of Reports

This information collection is mandatory pursuant to Sections 17A(c), 17(a)(3), and 23(a) of the Act, as amended (15 U.S.C. 78q-1(c), 78q(a)(3), and 78w(a)) (FDIC). Sections 12, 13, 14(a), 14(c), 14(d), 14(f), and 16 of the Act, as amended (15 U.S.C. 781, 78m, 78n(a), 78n(c), 78n(d), 78n(f), and 78p (OCC). Additionally, § 341.3 of the FDIC's Rules and Regulations implement the provisions of the Act. The registrations are public filings and, therefore, are not confidential.

On May 3, 2013, the OCC and FDIC published in the **Federal Register** (78 FR 26113), a 60-day notice requesting public comment on the proposed collection of information. They received no comments.

## Request for Comment

The Agencies invite comment on:

(a) Whether the collections of information are necessary for the proper performance of the Agencies' functions, including whether the information has practical utility;

(b) The accuracy of the Agencies' estimates of the burden of the information collections, including the validity of the methodology and assumptions used;

(c) Ways to enhance the quality, utility, and clarity of the information to be collected; and

(d) Ways to minimize the burden of information collections on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be shared among the Agencies. All comments will become a matter of public record.

Dated: July 15, 2013.

**Michele Meyer,**

*Assistant Director, Legislative and Regulatory Activities Division.*

Dated at Washington, DC, this 11th day of July, 2013.

Federal Deposit Insurance Corporation.

**Robert E. Feldman,**

*Executive Secretary.*

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**BILLING CODE 4810-33-P ; 6714-01-P**

## DEPARTMENT OF THE TREASURY

### Office of the Comptroller of the Currency

#### Agency Information Collection Activities; Information Collection Renewal; Comment Request

**AGENCY:** Office of the Comptroller of the Currency (OCC), Treasury.

**ACTION:** Notice and request for comment.

**SUMMARY:** The OCC, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to comment on the renewal of an information collection, as required by the Paperwork Reduction Act of 1995 (PRA). An agency may not conduct or sponsor, and a respondent is not required to respond to, an information collection unless it displays a currently valid Office of Management and Budget (OMB) control number. The OCC is soliciting comment concerning renewal of an information collection titled, "Guidance on Sound Incentive Compensation Practices."

**DATES:** Written comments should be submitted by September 17, 2013.

**ADDRESSES:** Because paper mail in the Washington, DC area and at the OCC is subject to delay, commenters are encouraged to submit comments by email if possible. Comments may be sent to: Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, Attention: 1557-0245, 400 7th Street SW., Suite 3E-218, Mail Stop 9W-11, Washington, DC 20219. In addition, comments may be sent by fax to (571) 465-4326 or by electronic mail to [regs.comments@occ.treas.gov](mailto:regs.comments@occ.treas.gov). You may personally inspect and photocopy comments at the OCC, 400 7th Street SW., Washington, DC 20219. For security reasons, the OCC requires that visitors make an appointment to inspect comments. You may do so by calling (202) 649-6700. Upon arrival, visitors will be required to present valid government-issued photo identification and to submit to security screening in order to inspect and photocopy comments.

All comments received, including attachments and other supporting materials, are part of the public record and subject to public disclosure. Do not

enclose any information in your comment or supporting materials that you consider confidential or inappropriate for public disclosure.

**FOR FURTHER INFORMATION CONTACT:** You can request additional information or a copy of the collection from Johnny Vilela or Mary H. Gottlieb, OCC Clearance Officers, (202) 649-5490, Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 400 7th Street SW., Washington, DC 20219.

**SUPPLEMENTARY INFORMATION:** The OCC is requesting renewal, without change of the following collection:

*Title:* Guidance on Sound Incentive Compensation Policies.

*OMB Number:* 1557-0245.

*Abstract:* Under the guidance, national banks and Federal savings associations are required to: (i) Have policies and procedures that identify and describe the role(s) of the personnel and units authorized to be involved in incentive compensation arrangements, identify the source of significant risk-related inputs, establish appropriate controls governing these inputs to help ensure their integrity, and identify the individual(s) and unit(s) whose approval is necessary for the establishment or modification of incentive compensation arrangements; (ii) create and maintain sufficient documentation to permit an audit of the organization's processes for incentive compensation arrangements; (iii) have any material exceptions or adjustments to the incentive compensation arrangements established for senior executives approved and documented by its board of directors; and (iv) have its board of directors receive and review, on an annual or more frequent basis, an assessment by management of the effectiveness of the design and operation of the organization's incentive compensation system in providing risk-taking incentives that are consistent with the organization's safety and soundness.

*Type of Review:* Regular.

*Affected Public:* Businesses or other for-profit.

*Estimated Number of Respondents:* 1,033 large banks; 1,991 small banks.

*Estimated Burden per Respondent:* 520 hours for large banks; 52 hours for small banks.

*Frequency of Response:* Annually.

*Total Annual Burden:* 640,692 hours. All comments will be considered in formulating the subsequent submission and become a matter of public record. Comments are invited on:

(a) Whether the collection of information is necessary for the proper

performance of the functions of the OCC, including whether the information has practical utility;

(b) The accuracy of the OCCs estimate of the information collection burden;

(c) Ways to enhance the quality, utility, and clarity of the information to be collected;

(d) Ways to minimize the burden of the collection on respondents, including through the use of automated collection techniques or other forms of information technology; and

(e) Estimates of capital or startup costs and costs of operation, maintenance, and purchase of services to provide information.

Dated: July 15, 2013.

**Michele Meyer,**

*Assistant Director, Legislative and Regulatory Activities Division.*

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**BILLING CODE 4810-33-P**

## DEPARTMENT OF THE TREASURY

### Office of Foreign Assets Control

#### **Designation and Identification of Two (2) Individuals and Two (2) Entities Pursuant to Executive Orders 13572 of April 29, 2011, "Blocking Property of Certain Persons With Respect to Human Rights Abuses in Syria" and 13582 of August 17, 2011, "Blocking Property of the Government of Syria and Prohibiting Certain Transactions With Respect to Syria"**

**AGENCY:** Office of Foreign Assets Control, Treasury.

**ACTION:** Notice.

**SUMMARY:** The Treasury Department's Office of Foreign Assets Control ("OFAC") is publishing the names of two (2) individuals and two (2) entities whose property and interests in property are blocked pursuant to Executive Orders 13572 of April 29, 2011, "Blocking Property of Certain Persons with Respect to Human Rights Abuses in Syria" and 13582 of August 17, 2011 "Blocking Property of the Government of Syria and Prohibiting Certain Transactions with Respect to Syria."

**DATES:** The actions by the Director of OFAC with respect to the two (2) individuals and two (2) entities identified in this notice, pursuant to Executive Orders 13572 and 13582, are effective as of December 11, 2012.

**FOR FURTHER INFORMATION CONTACT:** Assistant Director, Sanctions, Compliance & Evaluation, Office of Foreign Assets Control, Department of the Treasury, 1500 Pennsylvania

Avenue NW., (Treasury Annex), Washington, DC 20220, Tel.: 202/622-2490.

#### **SUPPLEMENTARY INFORMATION:**

##### **Electronic and Facsimile Availability**

This document and additional information concerning OFAC are available from OFAC's Web site ([www.treas.gov/ofac](http://www.treas.gov/ofac)) or via facsimile through a 24-hour fax-on-demand service, Tel.: 202/622-0077.

##### **Background**

On December 11, 2012, the Director of OFAC, in consultation with the Department of State, designated pursuant to one or more of the criteria set forth in subsection 1(b) of Executive Order 13572, one (1) individual and one (1) entity.

The listings on OFAC's list of Specially Designated Nationals and Blocked Persons for the individual and entity, whose property and interests in property are blocked pursuant to Executive Order 13572, appear as follows:

##### **Individual**

1. JABER, Ayman (a.k.a. JABER, Aiman; a.k.a. JABER, Ayman Mehriz; a.k.a. JABER, Ayman Mohriz; a.k.a. JABIR, Ayman; a.k.a. JABIR, Ayman Muhriz); DOB 17 Jan 1967; Passport 003308607 (Syria) (individual) [SYRIA];

##### **Entity**

1. SHABIHA (a.k.a. AL-SHABBIHAH; a.k.a. SHABBIHA; a.k.a. SHABBIHAH; a.k.a. SHABEEHA), Syria [SYRIA].

On December 11, 2012, the Director of OFAC, in consultation with the Department of State, designated pursuant to one or more of the criteria set forth in subsection 1(b) of Executive Order 13582, two (2) individuals.

The listings on OFAC's list of Specially Designated Nationals and Blocked Persons for the individuals, whose property and interests in property are blocked pursuant to Executive Order 13582, appear as follows:

##### **Individuals**

1. JABER, Mohammad (a.k.a. JA FAR, Abu; a.k.a. JABIR, Mohammad; a.k.a. JABIR, Muhammad; a.k.a. JABIR, Muhammad Muhraz; a.k.a. JABIR, Muhammad Muhraz; a.k.a. JA'FAR, Abu); DOB 23 Jan 1957; POB Latakia, Syria; Passport N004871560 (Syria) (individual) [SYRIA].

2. JABER, Ayman (a.k.a. JABER, Aiman; a.k.a. JABER, Ayman Mehriz; a.k.a. JABER, Ayman Mohriz; a.k.a. JABIR, Ayman; a.k.a. JABIR, Ayman