

identifies candidate early exploration missions, including the Asteroid Redirect Mission, extended duration missions in the lunar vicinity and lunar surface missions that demonstrate the capabilities and techniques for human exploration of deep space and Mars. NASA will share the status of work related to the mission themes in the roadmap and encourage workshop participants to share their innovative ideas for meeting the challenges ahead.

**DATES:** Thursday April 10, 2014, (8 a.m. EDT)–Friday, April 11, (5 p.m. EDT).

**ADDRESSES:** Johns Hopkins University Applied Physics Laboratory, Kossiakoff Conference Center, 11100 Johns Hopkins Road, Laurel, MD 20723.

**FOR FURTHER INFORMATION CONTACT:** John Guidi, NASA Human Exploration and Operations Mission Directorate: 202–358–1644.

**SUPPLEMENTARY INFORMATION:**

- This conference will be streamed live online. Viewing and interactive participation options will be posted at [www.nasa.gov/exploration/about/isec/ger-workshop](http://www.nasa.gov/exploration/about/isec/ger-workshop) prior to the event.

**Registration**

- Onsite attendance is limited. Registration will open February 27 and will close April 3. Registration details will be available starting February 27 at [www.nasa.gov/exploration/about/isec/ger-workshop](http://www.nasa.gov/exploration/about/isec/ger-workshop).

- Anyone who is not invited to present at the workshop will be able to participate virtually through Teleconference and Adobe Connect.

**Check In**

- Workshop check-in will open at 7:15 a.m. EDT, Thursday April 10, 2014.
- Be prepared to show government-issued photo identification.

**Media**

News media interested in attending are required to pre-register and should contact NASA Human Exploration & Operations Public Affairs at 202–358–1100 for additional information.

**Security**

Event attendees will receive a workshop badge upon check in. All participants are asked to keep this badge on them at all times while in the facility.

**Driving Directions**

APL is located on Johns Hopkins Road, approximately 1/2 mile west of U.S. Route 29. There are several visitor entrances. Attendees should use the Pond Road entrance to access Credit Union, Kossiakoff Center, and East Campus (0.6 miles from Route 29).

Additional Johns Hopkins University Applied Physics Laboratory visitor information is available here: <http://www.jhuapl.edu/aboutapl/visitor/default.asp>.

**William Gerstenmaier,**

*Associate Administrator, Human Exploration & Operations Mission Directorate.*

[FR Doc. 2014–02653 Filed 2–6–14; 8:45 am]

**BILLING CODE 7510–13–P**

**NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES**

**National Endowment for the Arts**

**Submission of OMB Review: Comment Request**

The National Endowment for the Arts (NEA) has submitted the following public information collection request (ICR) to the Office of Management and Budget (OMB) for review and approval in accordance with the Paperwork Reduction Act of 1995 [Pub. L. 104–13, 44 U.S.C. Chapter 35]. Copies of the ICR, with applicable supporting documentation, may be obtained by contacting Sunil Iyengar via telephone at 202–682–5654 (this is not a toll-free number) or email at [research@arts.gov](mailto:research@arts.gov). Individuals who use a telecommunications device for the deaf (TTY/TDD) may call 202–682–5496 between 10:00 a.m. and 4:00 p.m. Eastern time, Monday through Friday.

Comments should be sent to the Office of Information and Regulatory Affairs, Attn: OMB Desk Officer for the National Endowment for the Arts, Office of Management and Budget, Room 10235, Washington, DC 20503, 202–395–7316, within 30 days from the date of this publication in the **Federal Register**.

The Office of Management and Budget (OMB) is particularly interested in comments which:

- Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility;

- Evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information including the validity of the methodology and assumptions used;
- Enhance the quality, utility, and clarity of the information to be collected; and

- Minimize the burden of the collection of information on those who are to respond, including through the use of appropriate automated, electronic, mechanical, or other

technological collection techniques, or other forms of information technology, e.g., permitting electronic submission of responses.

*Agency:* National Endowment for the Arts.

*Title:* Local Arts Agency Census.

*OMB Number:* 3135–XXXX.

*Frequency:* Annual.

*Affected Public:* State, Local, and Tribal Governments.

*Estimated Number of Respondents:* 800.

*Estimated Time per Respondent:* 1.03125 hours.

*Total Burden Hours:* 825 hours.

*Total Annualized Capital/Startup Costs:* 0.

*Total Annual Costs (Operating/Maintaining Systems or Purchasing Services):* \$31,339.

This request is for clearance of an arts supplement for the 2014 Local Arts Agency Census, to be conducted by Americans for the Arts. The purpose of the Local Arts Agency Census is to develop a robust statistical baseline of data capturing the activities of an estimated 5,000 Local Arts Agencies nationwide, to help the NEA and the American public better understand the range, extent, and context of local, county, and municipal arts support, as well as policy directions and trends within the field. The data will be publicly available and the basis for a range of NEA reports and independent research publications.

*Addresses:* Sunil Iyengar, National Endowment for the Arts, 1100 Pennsylvania Avenue NW., Room 616, Washington, DC 20506–0001, telephone (202) 682–5654 (this is not a toll-free number), fax (202) 682–5677.

Dated: February 4, 2014.

**Kathy Plowitz-Worden,**

*Panel Coordinator, National Endowment for the Arts.*

[FR Doc. 2014–02640 Filed 2–6–14; 8:45 am]

**BILLING CODE 7537–01–P**

**SECURITIES AND EXCHANGE COMMISSION**

**Submission for OMB Review; Comment Request**

*Upon Written Request, Copies Available From:* Securities and Exchange Commission, Office of Investor Education and Advocacy, Washington, DC 20549–0213.

*Extension:*

Rule 206(3)–3T, OMB Control No. 3235–0630, SEC File No. 270–571.

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995

(44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission (the "Commission") has submitted to the Office of Management and Budget ("OMB") a request for extension and approval of the collections of information discussed below.

Temporary rule 206(3)-3T (17 CFR 275.206(3)-3T) under the Investment Advisers Act of 1940 (15 U.S.C. 80b-1 *et seq.*) is entitled: "Temporary rule for principal trades with certain advisory clients." The temporary rule provides investment advisers who are registered with the Commission as broker-dealers an alternative means to meet the requirements of section 206(3) of the Advisers Act (15 U.S.C. 80b-6(3)) when they act in a principal capacity in transactions with certain of their advisory clients.

Temporary rule 206(3)-3T permits investment advisers also registered as broker-dealers to satisfy the Advisers Act's principal trading restrictions by: (i) Providing written, prospective disclosure regarding the conflicts arising from principal trades; (ii) obtaining written, revocable consent from the client prospectively authorizing the adviser to enter into principal transactions; (iii) making oral or written disclosure and obtaining the client's consent before each principal transaction; (iv) sending to the client confirmation statements disclosing the capacity in which the adviser has acted; and (v) delivering to the client an annual report itemizing the principal transactions.

The Commission staff estimates that approximately 278 investment advisers make use of rule 206(3)-3T, including an estimated 11 advisers (on an annual basis) also registered as broker-dealers who do not offer non-discretionary services, but whom the Commission staff estimates will choose to do so and rely on rule 206(3)-3T. The Commission staff estimates that these advisers spend, in the aggregate, approximately 139,358 hours annually in complying with the requirements of the rule, including both initial and annual burdens. The aggregate hour burden, expressed on a per-eligible-adviser basis, is therefore approximately 501 hours per eligible adviser (139,358 hours divided by the estimated 278 advisers that will rely on rule 206(3)-3T).

Rule 206(3)-3T does not require recordkeeping or record retention. The collection of information requirements under the rule are required to obtain a benefit. The information collected pursuant to the rule is not required to be filed with the Commission, but rather takes the form of disclosures to, and responses from, clients. The collection

of information delivered by clients to advisers would be subject to the confidentiality strictures that govern those relationships, and we would expect them to be confidential communications. To the extent advisers include any of the information required by the rule in a filing, such as Form ADV, the information will not be kept confidential. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number.

The public may view the background documentation for this information collection at the following Web site, [www.reginfo.gov](http://www.reginfo.gov). Comments should be directed to: (i) Desk Officer for the Securities and Exchange Commission, Office of Information and Regulatory Affairs, Office of Management and Budget, Room 10102, New Executive Office Building, Washington, DC 20503, or by sending an email to: [Shagufta.Ahmed@omb.eop.gov](mailto:Shagufta.Ahmed@omb.eop.gov); and (ii) Thomas Bayer, 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). Comments must be submitted to OMB within 30 days of this notice.

Dated: February 3, 2014.

**Kevin M. O'Neill,**

*Deputy Secretary.*

[FR Doc. 2014-02601 Filed 2-6-14; 8:45 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

[Investment Company Act Release No. 30902; 812-14260]

### Elkhorn Securities, LLC and Elkhorn Unit Trust; Notice of Application

February 3, 2014.

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

**ACTION:** Notice of an application under (a) section 6(c) of the Investment Company Act of 1940 ("Act") for an exemption from sections 2(a)(32), 2(a)(35), 14(a), 19(b), 22(d) and 26(a)(2)(C) of the Act and rules 19b-1 and rule 22c-1 thereunder and (b) sections 11(a) and 11(c) of the Act for approval of certain exchange and rollover privileges.

**APPLICANTS:** Elkhorn Securities, LLC ("Elkhorn") and Elkhorn Unit Trust.<sup>1</sup>

<sup>1</sup> Applicants also request relief for future unit investment trusts (collectively, with Elkhorn Unit Trust, the "Trusts") and series of the Trusts ("Series") that are sponsored by Elkhorn or any

**SUMMARY:** *Summary of Application:* Applicants request an order to permit certain unit investment trusts to: (a) Impose sales charges on a deferred basis and waive the deferred sales charge in certain cases; (b) offer unitholders certain exchange and rollover options; (c) publicly offer units without requiring the Depositor to take for its own account \$100,000 worth of units; and (d) distribute capital gains resulting from the sale of portfolio securities within a reasonable time after receipt.

**DATES:** *Filing Dates:* The application was filed on January 9, 2014.

**HEARING OR NOTIFICATION OF HEARING:** An order granting the application will be issued unless the Commission orders a hearing. Interested persons may request a hearing by writing to the Commission's Secretary and serving applicants with a copy of the request, personally or by mail. Hearing requests should be received by the Commission by 5:30 p.m. on February 28, 2014, and should be accompanied by proof of service on the applicants, in the form of an affidavit, or, for lawyers, a certificate of service. Hearing requests should state the nature of the writer's interest, the reason for the request, and the issues contested. Persons who wish to be notified of a hearing may request notification by writing to the Commission's Secretary.

**ADDRESSES:** Elizabeth M. Murphy, Secretary, Securities and Exchange Commission, 100 F Street NE., Washington, DC 20549-1090; Applicants, 207 Reber Street, Suite 201, Wheaton, Illinois 60187.

**FOR FURTHER INFORMATION CONTACT:** Bruce R. MacNeil, Senior Counsel, at (202) 551-6817, or Daniele Marchesani, Branch Chief, at (202) 551-6821 (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 Web site by searching for the file number, or an applicant using the Company name box, at <http://www.sec.gov/search/search.htm> or by calling (202) 551-8090.

### Applicants' Representations

1. Elkhorn Unit Trust is a unit investment trust ("UIT") that is registered under the Act. Any future

entity controlling, controlled by or under common control with Elkhorn (together with Elkhorn, the "Depositors"). Any future Trust and Series that relies on the requested order will comply with the terms and conditions of the application. All existing entities that currently intend to rely on the requested order are named as applicants.