

• 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: DOL–EBSA.

Title of Collection: Summary of Benefits and Coverage and Uniform Glossary Required Under the Affordable Care Act.

OMB Control Number: 1210–0147.

Affected Public: Private Sector—businesses or other for-profits and not-for-profit institutions.

Total Estimated Number of Respondents: 2,299,742.

Total Estimated Number of Responses: 71,252,326.

Total Estimated Annual Time Burden: 431,552 hours.

Total Estimated Annual Other Costs Burden: \$9,273,266.

Dated: February 24, 2016.

Michel Smyth,

Departmental Clearance Officer.

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RAILROAD RETIREMENT BOARD

Proposed Collection; Comment Request

Summary: In accordance with the requirement of Section 3506 (c)(2)(A) of the Paperwork Reduction Act of 1995 which provides opportunity for public comment on new or revised data collections, the Railroad Retirement Board (RRB) will publish periodic summaries of proposed data collections.

Comments are invited on: (a) Whether the proposed information collection is necessary for the proper performance of the functions of the agency, including whether the information has practical utility; (b) the accuracy of the RRB's estimate of the burden of the collection of the information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden related to the collection of information on respondents, including the use of automated collection techniques or other forms of information technology.

Title and purpose of information collection: Application for Employee

Annuity Under the Railroad Retirement Act; OMB 3220–0002.

Section 2a of the Railroad Retirement Act (RRA) provides for payments of age and service, disability, and supplemental annuities to qualified employees. An annuity cannot be paid until the employee stops working for a railroad employer. In addition, the age and service employee must relinquish any rights held to such jobs. A disabled employee does not need to relinquish employee rights until attaining Full Retirement Age, or if earlier, when their spouse is awarded a spouse annuity. Benefits become payable after the employee meets certain other requirements, which depend on the type of annuity payable. The requirements for obtaining the annuities are prescribed in 20 CFR 216 and 220.

To collect the information needed to help determine an applicant's entitlement to, and the amount of, an employee retirement annuity the RRB uses Forms AA–1, *Application for Employee Annuity*; AA–1d, *Application for Determination of Employee Disability*; G–204, *Verification of Workers Compensation/Public Disability Benefit Information*, and electronic Form(s) AA–1cert, *Application Summary and Certification*, and AA–1sum, *Application Summary*.

The AA–1 application process obtains information from an applicant about their marital history, work history, military service, benefits from other governmental agencies, railroad pensions and Medicare entitlement for either an age and service or disability annuity. An RRB representative interviews the applicant either at a field office, an itinerant point, or by telephone. During the interview, the RRB representative enters the information obtained into an on-line information system. Upon completion of the interview, the on-line information system generates Form AA–1cert, *Application Summary and Certification*, or Form AA–1sum, *Application Summary*, a summary of the information that was provided for the applicant to review and approve. Form AA–1cert documents approval using the traditional pen and ink “wet” signature, and Form AA–1sum documents approval using the alternative signature method called Attestation. When the RRB representative is unable to contact the applicant in person or by telephone, for example, the applicant lives in

another country, a manual version of Form AA–1 is used.

Form AA–1d, *Application for Determination of Employee's Disability*, is completed by an employee who is filing for a disability annuity under the RRA, or a disability freeze under the Social Security Act, for early Medicare based on a disability. Form G–204, *Verification of Worker's Compensation/Public Disability Benefit Information*, is used to obtain and verify information concerning a worker's compensation or a public disability benefit that is or will be paid by a public agency to a disabled railroad employee.

The RRB proposes the following changes to information collection 3220–0002:

Form AA–1 is being revised to make non-burden impacting editorial and formatting changes that include the deletion of an obsolete item. In addition, changes are proposed to Form AA–1 in support of the RRB's Disability Program Improvement Project (DPIP) to enhance/improve disability case processing and overall program integrity as recommended by the RRB's Office of Inspector General and the Government Accountability Office. Proposed revisions to Form AA–1 include the addition of questions regarding whether a disability applicant is relinquishing seniority rights and why. Comparable revisions to electronic equivalent forms (AA–1cert and AA–1sum) are also being proposed.

Significant changes are proposed to Form AA–1d in support of the RRB's DPIP to enhance/improve disability case processing and overall program integrity as recommended by the RRB's Office of Inspector General and the Government Accountability Office. Proposed changes to Form AA–1d include the addition of questions regarding an applicant's daily activities, including any social and recreational activities and volunteer work; their education and training, any work performed since terminating their railroad occupation; whether an applicant used a facilitator or an attorney to either complete or aid in their completion of application. Clarification of existing items and other non-burden impacting editorial and formatting changes are also proposed.

The RRB proposes no changes to Form G–204.

One response is requested of each respondent. Completion of the forms is required to obtain/retain a benefit.

ESTIMATE OF ANNUAL RESPONDENT BURDEN

Form No.	Annual responses	Time (minutes)	Burden (hours)
AA-1 (without assistance)	100	62	103
AA-1cert (with assistance)	4,620	30	2,310
AA-1sum (with assistance)	8,000	29	3,867
AA-1d (with assistance)	2,600	60	2,600
AA-1d (without assistance)	5	85	7
G-204	20	15	5
Total	15,345		8,892

Additional Information or Comments: To request more information or to obtain a copy of the information collection justification, forms, and/or supporting material, contact Dana Hickman at (312) 751-4981 or Dana.Hickman@RRB.GOV. Comments regarding the information collection should be addressed to Charles Mierzwa, Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois 60611-2092 or emailed to Charles.Mierzwa@RRB.GOV. Written comments should be received within 60 days of this notice.

Charles Mierzwa,*Chief of Information Resources Management.*

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SECURITIES AND EXCHANGE COMMISSION**[Release No. 34-77202; File No. SR-BATS-2015-100]****Self-Regulatory Organizations; BATS Exchange, Inc.; Notice of Filing of Amendments No. 1, No. 3, and No. 4 to, and Order Instituting Proceedings to Determine Whether To Approve or Disapprove, a Proposed Rule Change, as Modified by Amendments No. 1, No. 3, and No. 4, To Amend BATS Rule 14.11(i) To Adopt Generic Listing Standards for Managed Fund Shares**

February 22, 2016.

I. Introduction

On November 18, 2015, BATS Exchange, Inc. (“Exchange”) filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”) ¹ and Rule 19b-4 thereunder,² a proposed rule change to amend BATS Rule 14.11(i) by, among other things, adopting generic listing standards for Managed Fund Shares (defined below). The proposed

rule change was published for comment in the **Federal Register** on November 25, 2015.³ On January 4, 2016, the Commission designated a longer period within which to approve the proposed rule change, disapprove the proposed rule change, or institute proceedings to determine whether to disapprove the proposed rule change.⁴ On February 9, 2016, the Exchange filed Amendment No. 1 to the proposed rule change,⁵ which replaced the originally filed proposed rule change in its entirety.⁶ On February 11, 2016, the Exchange both filed and withdrew Amendment No. 2 to the proposed rule change. On February 11, 2016, the Exchange filed Amendment No. 3 to the proposed rule change.⁷ On February 17, 2016, the

Exchange filed Amendment No. 4 to the proposed rule change.⁸ The Commission has not received any comments on the proposal.

Pursuant to Section 19(b)(1) of the Act⁹ and Rule 19b-4 thereunder,¹⁰ notice is hereby given that the Exchange filed with the Commission Amendments No. 1, No. 3, and No. 4 to the proposed rule change on February 9, 2016, February 11, 2016, and February 17, 2016, respectively. The proposed rule change, as modified by those amendments, is described in Sections I and II below, which Sections have been prepared by the Exchange. The Commission is publishing this notice to solicit comments on Amendments No. 1, No. 3, and No. 4 from interested persons.

Additionally, as discussed in Section III below, the Commission is instituting proceedings under Section 19(b)(2)(B) of the Act¹¹ to determine whether to approve or disapprove the proposed rule change, as modified by Amendments No. 1, No. 3, and No. 4 thereto.

not members of ISG.” Amendment No. 3 also corrects an erroneous statement in Item 11 to indicate that an Exhibit 4 was included in Amendment No. 1.

⁸ Amendment No. 4 deletes from the proposal the following sentence: “Thus, if the limitation applied to swaps, there would effectively be a cap of 10% of the portfolio invested in listed swaps.” Amendment No. 3 also amends two representations as follows (*added* language in brackets): The Exchange or FINRA, on behalf of the Exchange, will communicate as needed regarding trading in Managed Fund Shares [and their underlying components] with other markets that are members of the ISG, including all U.S. securities exchanges and futures exchanges on which the components are traded[, or with which the Exchange has in place a CSSA.] In addition, the Exchange or FINRA[, on behalf of the Exchange[, may obtain information regarding trading in Managed Fund Shares [and their underlying components] from other markets that are members of the ISG, including all U.S. securities exchanges and futures exchanges on which the components are traded, or with which the Exchange has in place a CSSA.”

⁹ 15 U.S.C. 78s(b)(1).¹⁰ 17 CFR 240.19b-4.¹¹ 15 U.S.C. 78s(b)(2)(B).³ See Securities Exchange Act Release No. 76478 (Nov. 19, 2015), 80 FR 73841 (“Notice”).⁴ See Securities Exchange Act Release No. 76820, 81 FR 989 (Jan. 8, 2016). The Commission designated February 23, 2016 as the date by which the Commission shall either approve or disapprove, or institute proceedings to determine whether to disapprove, the proposed rule change. See *id.*⁵ Amendment No. 1: (1) Clarifies the proposed treatment of convertible securities under the proposed generic listing criteria; (2) modifies the proposed criterion regarding American Depository Receipts (“ADRs”) to provide that no more than 10% of the equity weight of the portfolio shall consist of non-exchange traded (rather than unsponsored) ADRs; (3) modifies the proposed portfolio limit on listed derivatives to require that at least 90% of the weight of such holdings invested in futures, exchange-traded options, and listed swaps shall, on both an initial and continuing basis, consist of futures, options, and swaps for which the Exchange may obtain information via the Intermarket Surveillance Group (“ISG”) from other members or affiliates of the ISG or for which the principal market is a market with which the Exchange has a comprehensive surveillance sharing agreement (“CSSA”); (4) provides that a portfolio’s investments in listed and over-the-counter (“OTC”) derivatives will be calculated for purposes the proposed limits on such holdings as the total absolute notional value of the derivatives; (5) makes certain other conforming and clarifying changes. The amendments to the proposed rule change are available at: <http://www.sec.gov/comments/sr-bats-2015-100/bats2015100.shtml>.⁶ See Amendment No. 1, *supra* note 5, at 4.⁷ Amendment No. 3 deletes from the proposal the following two sentences: (1) “Such limitation will not apply to listed swaps because swaps are listed on swap execution facilities (“SEFs”), the majority of which are not members of ISG.” and (2) “Such limitation would not apply to listed swaps because swaps are listed on SEFs, the majority of which are
¹ 15 U.S.C. 78s(b)(1).² 17 CFR 240.19b-4.