

## SECURITIES AND EXCHANGE COMMISSION

### Submission for OMB Review; Comment Request

#### Upon Written Request, Copies Available

From: Securities and Exchange Commission, Office of FOIA Services, 100 F Street NE., Washington, DC 20549-2736.

#### Extension:

Rule 8c-1, SEC File No. 270-455, OMB Control No. 3235-0514.

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 ("PRA") (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission ("Commission") has submitted to the Office of Management and Budget ("OMB") a request for approval of extension of the previously approved collection of information provided for in Rule 8c-1 (17 CFR 240.8c-1), under the Securities Exchange Act of 1934 ("Exchange Act") (15 U.S.C. 78a *et seq.*).

Rule 8c-1 generally prohibits a broker-dealer from using its customers' securities as collateral to finance its own trading, speculating, or underwriting transactions. More specifically, Rule 8c-1 states three main principles: (1) A broker-dealer is prohibited from commingling the securities of different customers as collateral for a loan without the consent of each customer; (2) a broker-dealer cannot commingle customers' securities with its own securities under the same pledge; and (3) a broker-dealer can only pledge its customers' securities to the extent that customers are in debt to the broker-dealer.<sup>1</sup>

The information required by Rule 8c-1 is necessary for the execution of the Commission's mandate under the Exchange Act to prevent broker-dealers from hypothecating or arranging for the hypothecation of any securities carried for the account of any customer under certain circumstances. In addition, the information required by Rule 8c-1 provides important investor protections.

There are approximately 60 respondents as of year-end 2015 (*i.e.*, broker-dealers that conducted business with the public, filed Part II of the FOCUS Report, did not claim an exemption from the Reserve Formula computation, and reported that they had a bank loan during at least one quarter of the current year). Each respondent makes an estimated 45 annual responses, for an aggregate total of 2,700

responses per year.<sup>2</sup> Each response takes approximately 0.5 hours to complete. Therefore, the total third-party reporting burden per year is 1,350 burden hours.<sup>3</sup>

The retention period for the recordkeeping requirement under Rule 8c-1 is three years. The recordkeeping requirement under Rule 8c-1 is mandatory to ensure that broker-dealers do not commingle their securities or use them to finance the broker-dealers' proprietary business. This rule does not involve the collection of confidential or personal identifiable information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information under the PRA unless it displays a currently valid OMB control number.

The public may view 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) Pamela Dyson, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F Street NE., Washington, DC 20549, or by sending 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: March 31, 2017.

**Edward A. Aleman,**

*Assistant Secretary.*

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**BILLING CODE 8011-01-P**

## SOCIAL SECURITY ADMINISTRATION

[Docket No. SSA-2012-0035]

### Rescission of Social Security Rulings 96-2p, 96-5p, and 06-3p; Correction

**AGENCY:** Social Security Administration.

**ACTION:** Notice of rescission; correction.

**SUMMARY:** The Social Security Administration published a notice of rescission in the **Federal Register** on March 27, 2017, with incorrect modifiers in the published effective date. We are correcting the effective date to March 27, 2017.

**FOR FURTHER INFORMATION CONTACT:** Joshua Silverman, Office of Disability

Policy, Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235-6401, (410) 594-2128. For information on eligibility or filing for benefits, call our national toll-free number 1-800-772, 1213, or TTY 1-800-325-0778, or visit our Internet site, Social Security Online, at <http://www.socialsecurity.gov>.

### Correction

In the **Federal Register** of March 27, 2017 (82 FR 15263), in FR Doc. 2017-05958, on page 15263, in the first column, make the following correction, in the **DATES** section. Change the effective date to read, "*Effective Date:* March 27, 2017."

**Faye Lipsky,**

*Director, Office of Regulations and Reports Clearance, Social Security Administration.*

[FR Doc. 2017-06902 Filed 4-5-17; 8:45 am]

**BILLING CODE 4191-02-P**

## DEPARTMENT OF STATE

[Public Notice 9951]

### Request for Statements of Interest

**AGENCY:** Department of State.

**ACTION:** Solicitation of applications.

**SUMMARY:** The Department of State announces a request for statements of interest (RSI) from qualified entities interested in seeking the Department's designation as an Accrediting Entity (AE) to accredit and approve U.S. agencies and persons that seek to provide adoption services in intercountry adoption cases. The RSI is posted on the Web site of the Office of Children's Issues, Bureau of Consular Affairs, U.S. Department State at [adoption.state.gov](http://adoption.state.gov).

**DATES:** The RSI will be open from March 31, 2017 through June 1, 2017 at 5:00 p.m. EDT. Extended time to submit a statement of interest may be considered upon request to the Department.

**ADDRESSES:** Consult the RSI posted on [adoption.state.gov](http://adoption.state.gov) for instructions on where to submit statements of interest and supporting documents.

**FOR FURTHER INFORMATION CONTACT:** Questions may be submitted to [Adoption@state.gov](mailto:Adoption@state.gov).

**SUPPLEMENTARY INFORMATION:** The Intercountry Adoption Act of 2000 (Pub. L. 106-279; 114 Stat. 825; 42 U.S.C. 14901 *et seq.*) designates the Department of State as the U.S. Central Authority for the 1993 Hague Convention on Protection of Children and Co-operation in Respect of Intercountry Adoption (Senate Treaty

<sup>1</sup> See Exchange Act Release No. 2690 (November 15, 1940); Exchange Act Release No. 9428 (December 29, 1971).

<sup>2</sup> 60 respondents × 45 annual responses = 2,700 aggregate total of annual responses.

<sup>3</sup> 2,700 responses × 0.5 hours = 1,350 hours.