

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 to add the following two new items—"Are you expecting a newborn?" and its possible "Yes" response—"Expected Date" to Form AA-1. A comparable revision will be made to the electronic equivalent forms (AA-1, AA-1cert and AA-1sum). This information will help determine if the applicant can potentially receive an additional benefit amount. The RRB also proposes the implementation of an Internet equivalent version of Form AA-1 that can be completed by the applicant and submitted through the RRB's Web site at [www.rrb.gov](http://www.rrb.gov). The RRB proposes no changes to Forms AA-1d or 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) .....            | 35               | 62             | 36             |
| AA-1cert (with assistance) .....           | 7,050            | 30             | 3,525          |
| AA-1sum (with assistance) .....            | 2,415            | 29             | 1,167          |
| AA-1 (Internet) (without assistance) ..... | 3,220            | 45             | 2,415          |
| AA-1d (with assistance) .....              | 2,600            | 60             | 2,600          |
| AA-1d (without assistance) .....           | 5                | 85             | 7              |
| G-204 .....                                | 20               | 15             | 5              |
| <b>Total .....</b>                         | <b>15,345</b>    | <b>.....</b>   | <b>9,755</b>   |

*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](mailto:Dana.Hickman@RRB.GOV). Comments regarding the information collection should be addressed to Brian Foster, Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois 60611-1275 or emailed to [Brian.Foster@rrb.gov](mailto:Brian.Foster@rrb.gov). Written comments should be received within 60 days of this notice.

**Brian D. Foster,**  
*Clearance Officer.*

[FR Doc. 2017-19629 Filed 9-14-17; 8:45 am]

BILLING CODE 7905-01-P

100 F Street NE., Washington, DC 20549-2736

*Extension:*  
Rule 15g-9

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 ("Commission") has submitted to the Office of Management and Budget ("OMB") a request for extension of the previously approved collection of information discussed below.

Section 15(c)(2) of the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*) (the "Exchange Act") authorizes the Commission to promulgate rules that prescribe means reasonably designed to prevent fraudulent, deceptive, or manipulative practices in connection with over-the-counter ("OTC") securities transactions. Pursuant to this authority, the Commission in 1989 adopted Rule 15a-6, which was subsequently redesignated as Rule 15g-9, 17 CFR 240.15g-9 (the "Rule"). The Rule requires broker-dealers to produce a written suitability determination for, and to obtain a written customer agreement to, certain recommended transactions in penny stocks that are not registered on a

national securities exchange, and whose issuers do not meet certain minimum financial standards. The Rule is intended to prevent the indiscriminate use by broker-dealers of fraudulent, high pressure telephone sales campaigns to sell penny stocks to unsophisticated customers.

The Commission staff estimates that there are approximately 198 broker-dealers subject to the Rule. The burden of the Rule on a respondent varies widely depending on the frequency with which new customers are solicited. On the average for all respondents, the staff has estimated that respondents process three new customers per week, or approximately 156 new customer suitability determinations per year. We also estimate that a broker-dealer would expend approximately one-half hour per new customer in obtaining, reviewing, and processing (including transmitting to the customer) the information required by Rule 15g-9, and each respondent would consequently spend 78 hours annually (156 customers x .5 hours) obtaining the information required in the rule. We determined, based on the estimate of 198 broker-dealer respondents, that the current annual burden of Rule 15g-9 is 15,444 hours (198 respondents x 78 hours).

**SECURITIES AND EXCHANGE COMMISSION**

[SEC File No. 270-325, OMB Control No. 3235-0385]

**Submission for OMB Review; Comment Request**

*Upon Written Request, Copies Available From:* U.S. Securities and Exchange Commission, Office of FOIA Services,

The broker-dealer must keep the written suitability determination and customer agreement required by the Rule for at least three years. Completing the suitability determination and obtaining the customer agreement in writing is mandatory for broker-dealers who effect transactions in penny stocks and do not qualify for an exemption, but does not involve the collection of confidential 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: September 12, 2017.

**Eduardo A. Aleman,**  
Assistant Secretary.

[FR Doc. 2017-19677 Filed 9-14-17; 8:45 am]

BILLING CODE 8011-01-P

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-81568; File No. SR-NYSEArca-2017-98]

### Self-Regulatory Organizations; NYSE Arca, Inc.; Notice of Filing of Proposed Rule Change To List and Trade Shares of The Gold Trust Under NYSE Arca Rule 8.201-E

September 11, 2017.

Pursuant to Section 19(b)(1)<sup>1</sup> of the Securities Exchange Act of 1934 (the “Act”)<sup>2</sup> and Rule 19b-4 thereunder,<sup>3</sup> notice is hereby given that, on August 30, 2017, NYSE Arca, Inc. (the “Exchange” or “NYSE Arca”) filed with the Securities and Exchange Commission (the “Commission”) the proposed rule change as described in

Items I and II below, which Items have been prepared by the self-regulatory organization. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

#### I. Self-Regulatory Organization’s Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to list and trade shares of The Gold Trust under NYSE Arca Rule 8.201-E. The proposed rule change is available on the Exchange’s Web site at [www.nyse.com](http://www.nyse.com), at the principal office of the Exchange, and at the Commission’s Public Reference Room.

#### II. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the self-regulatory organization included statements concerning the purpose of, and basis for, the proposed rule change and discussed any comments it received on the proposed rule change. The text of those statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant parts of such statements.

##### A. Self-Regulatory Organization’s Statement of the Purpose of, and the Statutory Basis for, the Proposed Rule Change

###### 1. Purpose

The Exchange proposes to list and trade shares (“Shares”) of The Gold Trust (“Trust”), a series of the World Currency Gold Trust (“WCGT”), under NYSE Arca Rule 8.201-E.<sup>4</sup> Under NYSE Arca Rule 8.201-E, the Exchange may propose to list and/or trade pursuant to

<sup>4</sup> On August 29, 2017, WCGT submitted to the Commission its draft registration statement, with respect to the Trust, on Form S-1 (“Registration Statement”) under the Securities Act of 1933 (“1933 Act”). The Jumpstart Our Business Startups Act, enacted on April 5, 2012, added Section 6(e) to the 1933 Act. Section 6(e) of the 1933 Act provides that an “emerging growth company” may confidentially submit to the Commission a draft registration statement for confidential, non-public review by the Commission staff prior to public filing, provided that the initial confidential submission and all amendments thereto shall be publicly filed not later than 21 days before the date on which the issuer conducts a road show, as such term is defined in 1933 Act Rule 433(h)(4). An emerging growth company is defined in Section 2(a)(19) of the 1933 Act as an issuer with less than \$1,000,000,000 total annual gross revenues during its most recently completed fiscal year. The Trust meets the definition of an emerging growth company and consequently has submitted its Registration Statement on a confidential basis with the Commission.

unlisted trading privileges (“UTP”) “Commodity-Based Trust Shares.”<sup>5</sup>

The Trust will not be registered as an investment company under the Investment Company Act of 1940, as amended,<sup>6</sup> and is not required to register under such act. The Trust is not a commodity pool for purposes of the Commodity Exchange Act, as amended.<sup>7</sup>

The Sponsor of the Trust is WGC USA Asset Management Company, LLC.<sup>8</sup> BNY Mellon Asset Servicing, a division of The Bank of New York Mellon (“BNYM”), will be the Trust’s administrator (“Administrator”) and transfer agent. BNYM will serve as the custodian of the Trust’s cash, if any. A bank will serve as the custodian (“Custodian”) of the Trust’s gold.

The Commission has previously approved listing on the Exchange under NYSE Arca Equities Rules 5.2(j)(5) (now NYSE Arca Rule 5.2-E(j)(5)) and 8.201 (now NYSE Arca Rule 8.201-E) of other precious metals and gold-based commodity trusts, including the GraniteShares Gold Trust;<sup>9</sup> Merk Gold Trust;<sup>10</sup> ETFs Gold Trust,<sup>11</sup> ETFs Platinum Trust<sup>12</sup> and ETFs Palladium Trust (collectively, the “ETFs Trusts”);<sup>13</sup> APMEX Physical-1 oz. Gold Redeemable Trust;<sup>14</sup> Sprott Gold Trust;<sup>15</sup> SPDR Gold Trust (formerly, streetTRACKS Gold Trust); iShares Silver Trust;<sup>16</sup> iShares COMEX Gold

<sup>5</sup> Commodity-Based Trust Shares are securities issued by a trust that represents investors’ discrete identifiable and undivided beneficial ownership interest in the commodities deposited into the Trust.

<sup>6</sup> 15 U.S.C. 80a-1.

<sup>7</sup> 17 U.S.C. 1.

<sup>8</sup> WCGT is a Delaware statutory trust consisting of multiple series, each of which issues common units of beneficial interest, which represent units of fractional undivided beneficial interest in and ownership of such series. The term of WCGT and each series will be perpetual (unless terminated earlier in certain circumstances). The sole trustee of WCGT is Delaware Trust Company (“Trustee”).

<sup>9</sup> Securities Exchange Act Release No. 81077 (July 5, 2017) (SR-NYSEArca-2017-55) (order approving listing and trading shares of the GraniteShares Gold Trust under NYSE Arca Equities Rule 8.201).

<sup>10</sup> Securities Exchange Act Release No. 71378 (January 23, 2014), 79 FR 4786 (January 29, 2014) (SR-NYSEArca-2013-137).

<sup>11</sup> Securities Exchange Act Release No. 59895 (May 8, 2009), 74 FR 22993 (May 15, 2009) (SR-NYSEArca-2009-40).

<sup>12</sup> Securities Exchange Act Release No. 61219 (December 22, 2009), 74 FR 68886 (December 29, 2009) (SR-NYSEArca-2009-95).

<sup>13</sup> Securities Exchange Act Release No. 61220 (December 22, 2009), 74 FR 68895 (December 29, 2009) (SR-NYSEArca-2009-94).

<sup>14</sup> Securities Exchange Act Release No. 66930 (May 7, 2012), 77 FR 27817 (May 11, 2012) (SR-NYSEArca-2012-18).

<sup>15</sup> Securities Exchange Act Release No. 61496 (February 4, 2010), 75 FR 6758 (February 10, 2010) (SR-NYSEArca-2009-113).

<sup>16</sup> See Securities Exchange Act Release No. 58956 (November 14, 2008), 73 FR 71074 (November 24,

Continued

<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 15 U.S.C. 78a.

<sup>3</sup> 17 CFR 240.19b-4.