

specifically, with its requirements that exchange fees be reasonable and equitably allocated; be designed to perfect the mechanism of a free and open market and the national market system, protect investors and the public interest, and not be unfairly discriminatory; or not impose an unnecessary or inappropriate burden on competition.<sup>69</sup>

## V. Commission's Solicitation of Comments

The Commission requests written views, data, and arguments with respect to the concerns identified above as well as any other relevant concerns. Such comments should be submitted by October 24, 2019. Rebuttal comments should be submitted by November 7, 2019. Although there do not appear to be any issues relevant to approval or disapproval which would be facilitated by an oral presentation of views, data, and arguments, the Commission will consider, pursuant to Rule 19b-4, any request for an opportunity to make an oral presentation.<sup>70</sup>

The Commission asks that commenters address the sufficiency and merit of the Exchange's statements in support of the proposal, in addition to any other comments they may wish to submit about the proposed rule change.

Interested persons are invited to submit written data, views, and arguments concerning the proposed rule change, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

### Electronic Comments

- Use the Commission's internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an email to [rule-comments@sec.gov](mailto:rule-comments@sec.gov). Please include File Number SR-CboeBZX-2019-072 on the subject line.

### Paper Comments

- Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549-1090.
- All submissions should refer to File Number SR-CboeBZX-2019-072. This file number should be included on the subject line if email is used. To help the Commission process and review your

comments more efficiently, please use only one method. The Commission will post all comments on the Commission's internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Room, 100 F Street NE, Washington, DC 20549 on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of the filing also will be available for inspection and copying at the principal office of the Exchange. All comments received will be posted without change. Persons submitting comments are cautioned that we do not redact or edit personal identifying information from comment submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR-CboeBZX-2019-072 and should be submitted on or before October 24, 2019. Rebuttal comments should be submitted by November 7, 2019.

## VI. Conclusion

*It is therefore ordered*, pursuant to Section 19(b)(3)(C) of the Act,<sup>71</sup> that File Number SR-CboeBZX-2019-072 be and hereby is, temporarily suspended. In addition, the Commission is instituting proceedings to determine whether the proposed rule change should be approved or disapproved.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>72</sup>

**Eduardo A. Aleman,**

*Deputy Secretary.*

[FR Doc. 2019-21472 Filed 10-2-19; 8:45 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-87149; File No. 4-698]

**Joint Industry Plan; Notice of Filing and Immediate Effectiveness of Amendment to the National Market System Plan Governing the Consolidated Audit Trail by Cboe BYX Exchange, Inc., Cboe BZX Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., BOX Options Exchange LLC, Cboe C2 Options Exchange, Inc., Cboe Exchange, Inc., Financial Industry Regulatory Authority, Inc., Investors' Exchange LLC, Miami International Securities Exchange, LLC, MIAx EMERALD, LLC, MIAx PEARL, LLC, Nasdaq BX, Inc., Nasdaq GEMX, LLC, Nasdaq ISE, LLC, Nasdaq MRX, LLC, Nasdaq PHLX LLC, The Nasdaq Stock Market LLC, New York Stock Exchange LLC, NYSE Arca, Inc., NYSE American, LLC, NYSE Chicago, Inc. and NYSE National, Inc.**

September 27, 2019.

### I. Introduction

On August 29, 2019, the Operating Committee for CAT NMS, LLC (the "Company"), on behalf of the following parties to the National Market System Plan Governing the Consolidated Audit Trail (the "CAT NMS Plan" or "Plan"):<sup>1</sup>

<sup>1</sup> On February 27, 2015, BATS-Y Exchange, Inc. (n/k/a Cboe BYX Exchange, Inc.), BATS Exchange, Inc. (n/k/a Cboe BZX Exchange, Inc.), BOX Options Exchange LLC, C2 Options Exchange, Incorporated (n/k/a Cboe C2 Options Exchange, Inc.), Chicago Board Options Exchange, Incorporated (n/k/a Cboe Exchange Inc.), Chicago Stock Exchange, Inc. (n/k/a NYSE Chicago, Inc.), EDGA Exchange, Inc. (n/k/a Cboe EDGA Exchange, Inc.), EDGX Exchange, Inc. (n/k/a Cboe EDGX Exchange, Inc.), Financial Industry Regulatory Authority, Inc., International Securities Exchange, LLC (n/k/a Nasdaq ISE LLC), ISE Gemini, LLC (n/k/a Nasdaq GEMX, LLC), Miami International Securities Exchange LLC, NASDAQ OMX BX, Inc. (n/k/a Nasdaq BX, Inc.), NASDAQ OMX PHLX LLC (n/k/a Nasdaq PHLX LLC), The NASDAQ Stock Market LLC, National Stock Exchange, Inc. (n/k/a NYSE National, Inc.), New York Stock Exchange LLC, NYSE MKT LLC (n/k/a NYSE American, LLC), and NYSE Arca, Inc. filed with the Commission, pursuant to Section 11A of the Exchange Act and Rule 608 of Regulation NMS thereunder, the CAT NMS Plan. 15 U.S.C. 78k-1; 17 CFR 242.608. The Plan was published for comment in the **Federal Register** on May 17, 2016, and approved by the Commission, as modified, on November 15, 2016. See Securities Exchange Act Release Nos. 77724 (April 27, 2016), 81 FR 30614 (May 17, 2016); 79318 (November 15, 2016), 81 FR 84696 (November 23, 2016) ("CAT NMS Plan Approval Order"). On January 30, 2017, the Commission noticed for immediate effectiveness an amendment to the Plan to add MIAx PEARL, LLC as a Participant. See Securities Exchange Act Release No. 79898, 82 FR 9250 (February 3, 2017). On March 1, 2019, the Commission noticed for immediate effectiveness an amendment to the Plan to add MIAx Emerald, LLC as a Participant. See Securities Exchange Act Release No. 85230, 84 FR 8356 (March 7, 2019).

<sup>69</sup> See 15 U.S.C. 78f(b)(4), (5), and (8).

<sup>70</sup> 15 U.S.C. 78s(b)(2). Section 19(b)(2) of the Act grants the Commission flexibility to determine what type of proceeding—either oral or notice and opportunity for written comments—is appropriate for consideration of a particular proposal by an SRO. See Securities Acts Amendments of 1975, Report of the Senate Committee on Banking, Housing and Urban Affairs to Accompany S. 249, S. Rep. No. 75, 94th Cong., 1st Sess. 30 (1975).

<sup>71</sup> 15 U.S.C. 78s(b)(3)(C).

<sup>72</sup> 17 CFR 200.30-3(a)(57) and (58).

Cboe BYX Exchange, Inc., (previously known as Bats BYX Exchange, Inc.), Cboe BZX Exchange, Inc. (previously known as Bats BZX Exchange), Inc., Cboe EDGA Exchange, Inc. (previously known as Bats EDGA Exchange, Inc.), Cboe EDGX Exchange, Inc. (previously known as Bats EDGX Exchange, Inc.), BOX Options Exchange LLC, Cboe C2 Options Exchange, Inc., Cboe Exchange, Inc., Financial Industry Regulatory Authority, Inc., Investors' Exchange, LLC, Miami International Securities Exchange, LLC, MIAX EMERALD, LLC, MIAX PEARL, LLC, Nasdaq ISE, LLC (previously known as International Securities Exchange, Inc.), Nasdaq GEMX (previously known as ISE Gemini, LLC), Nasdaq MRX (previously known as ISE Mercury, LLC), Nasdaq BX, Inc. (previously known as NASDAQ BX, Inc.), Nasdaq PHLX LLC (previously known as NASDAQ PHLX LLC), The NASDAQ Stock Market LLC, New York Stock Exchange LLC, NYSE Arca, Inc., NYSE Chicago, Inc. (previously known as Chicago Stock Exchange, Inc.), NYSE American, LLC (previously known as NYSE MKT, LLC) and NYSE National, Inc. (previously known as National Stock Exchange, Inc.) (collectively, the "Participants," "self-regulatory organizations," or "SROs") filed with the Securities and Exchange Commission ("Commission" or "SEC") pursuant to Section 11A(a)(3) of the Securities Exchange Act of 1934 ("Exchange Act"),<sup>2</sup> and Rule 608 thereunder,<sup>3</sup> a proposed amendment to the CAT NMS Plan to accommodate the creation of a new Delaware limited liability company, named Consolidated Audit Trail, LLC, for the purpose of conducting activities related to the CAT.<sup>4</sup> A copy of the proposed revisions to the CAT NMS Plan is attached as *Appendix A* hereto. The Commission is publishing this notice to solicit comments from interested persons on the amendment.<sup>5</sup>

## II. Description of the Plan

Set forth in this Section II is the statement of the purpose and summary of the amendment, along with information required by Rule 608(a)(4) and (5) under the Exchange Act,<sup>6</sup> substantially as prepared and submitted by the Participants to the Commission.<sup>7</sup>

### A. Description of the Amendments to the CAT NMS Plan

The Participants previously formed a Delaware limited liability company named CAT NMS, LLC for the purpose of conducting activities related to the consolidated audit trail ("CAT"), and CAT NMS, LLC currently conducts those activities.<sup>8</sup> The Participants are the limited liability company members of CAT NMS, LLC. The Limited Liability Company Agreement of CAT NMS, LLC, itself, including its appendices, is the CAT NMS Plan, the national market system plan as defined in Rule 600(b)(43) of Regulation NMS under the Exchange Act.<sup>9</sup> The Participants propose to form a new Delaware limited liability company named Consolidated Audit Trail, LLC for the purpose of conducting activities related to the CAT from and after the effectiveness of the proposed amendment of the CAT NMS Plan, and Consolidated Audit Trail, LLC will conduct those activities from and after that time. The Participants will be the limited liability company members of Consolidated Audit Trail, LLC. Upon the effectiveness of the proposed amendment of the CAT NMS Plan, the Limited Liability Company Agreement of Consolidated Audit Trail, LLC would serve as the CAT NMS Plan, and the Limited Liability Company Agreement of CAT NMS, LLC would no longer serve as the CAT NMS Plan.

The language of the Limited Liability Company Agreement of Consolidated Audit Trail, LLC is the same as the language of the Limited Liability Company Agreement of CAT NMS, LLC except for changes related to the name of the new limited liability company and the date of the agreement.<sup>10</sup> Specifically, the proposed amendment would replace the name CAT NMS, LLC with the name Consolidated Audit Trail, LLC in the title, opening paragraph, Section 2.3 and the title of Exhibit A of the new limited liability company agreement. In addition, the proposed amendment would replace the current date of the agreement in the opening paragraph with the date of the new agreement with Consolidated Audit Trail, LLC. Accordingly, the proposed

revisions to the current CAT NMS Plan are limited only to those that are necessary to accommodate the creation of the new limited liability company, not to change any of the substantive provisions of the CAT NMS Plan that govern the way activities with regard to the CAT are performed, including, for example, provisions related to governance, fees, the Plan Processor, and CAT Data. The proposed revisions to the CAT NMS Plan are attached as the *Appendix A* to this filing.

The Operating Committee proposes to amend the CAT NMS Plan for several reasons. On February 26, 2019, the Operating Committee selected a successor Plan Processor for the CAT, FINRA CAT LLC. With FINRA CAT LLC as the successor Plan Processor, a new CAT System will be used to conduct the activities related to the CAT. With a successor Plan Processor and new CAT System, the Operating Committee has been advised that it would be appropriate to utilize a new entity to implement the CAT NMS Plan. The Operating Committee also proposes to create Consolidated Audit Trail, LLC to ensure that fees collected by that entity will fund the development and operation of the CAT System.

### B. Governing or Constituent Documents

The governing document for Consolidated Audit Trail, LLC, the Limited Liability Company Agreement for Consolidated Audit Trail, LLC, is the same as the Limited Liability Agreement for CAT NMS, LLC except for the changes set forth in the *Appendix A* to this letter. In addition, the changes made to the Limited Liability Company Agreement of CAT NMS, LLC are described above in Section A.

### C. Implementation of Amendment

The terms of the proposed amendment will become effective upon filing pursuant to Rule 608(b)(3)(ii) of the Exchange Act because it is concerned solely with the administration of the Plan, or involving the governing or constituent documents relating to any person authorized to implement or administer the Plan on behalf of its sponsors.<sup>11</sup> The Limited Liability Company Agreement of Consolidated Audit Trail, LLC will become the CAT NMS Plan immediately upon filing the proposed amendment with the Commission. To effectuate the proposed amendment upon filing, the Participants have previously filed the necessary documents with the State of Delaware to form Consolidated Audit Trail, LLC. In addition, CAT NMS, LLC

Countryman, Secretary, Commission, dated August 29, 2019.

<sup>8</sup> CAT NMS Plan Approval Order at 84699.

<sup>9</sup> *Id.*

<sup>10</sup> In addition to these name changes, the Operating Committee notes that the names and addresses of the Participants have been updated in the signature block and Exhibit A of the Limited Liability Company Agreement of Consolidated Audit Trail, LLC to reflect the current names and addresses of the Participants. These changes are set forth in the *Appendix A* to this letter.

<sup>11</sup> 17 CFR 242.608(b)(3)(ii).

<sup>2</sup> 15 U.S.C. 78k-1(a)(3).

<sup>3</sup> 17 CFR 242.608.

<sup>4</sup> See Letter from Michael Simon, CAT NMS Plan Operating Committee Chair, to Brent J. Fields, Secretary, Commission, dated May 8, 2017 ("Transmittal Letter").

<sup>5</sup> 17 CFR 242.608.

<sup>6</sup> See 17 CFR 242.608(a)(4) and (a)(5).

<sup>7</sup> See Letter from Michael Simon, Chair, CAT NMS Plan Operating Committee, to Ms. Vanessa

has taken the necessary steps to assign its agreement with the Plan Processor, FINRA CAT LLC, and the Technical Specifications for the CAT System to Consolidated Audit Trail, LLC and for Consolidated Audit Trail, LLC to guarantee the payment obligations under the promissory notes made by CAT NMS, LLC to the Participants for development costs related to the CAT for the period prior to the creation of Consolidated Audit Trail, LLC. Consolidated Audit Trail, LLC also has taken the necessary steps to enter into new contracts with other third parties performing administrative and other functions on behalf of Consolidated Audit Trail, LLC.

At any time within sixty days of the filing of this amendment, the Commission may summarily abrogate the amendment and require that it be refiled in accordance with paragraph (a)(1) of Rule 608 and reviewed in accordance with paragraph (b)(1) of Rule 608, if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors or the maintenance of fair and orderly markets, to remove impediments to, and perfect the mechanisms of, a national market system or otherwise in furtherance of the purposes of the Exchange Act.

#### *D. Development and Implementation Phases*

Not applicable.

#### *E. Analysis of Impact on Competition*

The Participants do not believe the proposed amendments will have any impact on competition, that the proposed amendment is a technical amendment related to the entity which would conduct the activities related to the CAT, and that the proposed amendment does not make substantive changes to the CAT NMS Plan or the operation of the CAT.

#### *F. Written Understanding or Agreements Relating to Interpretation of, or Participation in, Plan*

Not applicable.

#### *G. Approval by Plan Sponsors in Accordance With Plan*

Section 12.3 of the CAT NMS Plan states that, subject to certain exceptions, the Plan may be amended from time to time only by a written amendment, authorized by the affirmative vote of not less than two-thirds of all of the Participants, that has been approved by the SEC pursuant to Rule 608 or has otherwise become effective under Rule 608. The Participants, by a vote of the Operating Committee taken at a meeting on August 29, 2019, has authorized the filing of this proposed amendment with the SEC in accordance with the Plan.

#### *H. Description of Operation of Facility Contemplated by the Proposed Amendment*

Not applicable.

#### *I. Terms and Conditions of Access*

Not applicable.

#### *J. Method and Frequency of Processor Evaluation*

Not applicable.

#### *K. Dispute Resolution*

Not applicable.

### **III. Solicitation of Comments**

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the amendment is consistent with the Exchange Act. Comments may be submitted by any of the following methods:

#### *Electronic Comments*

- Use the Commission's internet comment form (<http://www.sec.gov/rules/sro.shtml>); or

- Send an email to [rule-comments@sec.gov](mailto:rule-comments@sec.gov). Please include File Number 4–698 on the subject line.

#### *Paper Comments*

- Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549–1090.

All submissions should refer to File Number 4–698. This file number should be included on the subject line if email is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed plan amendment that are filed with the Commission, and all written communications relating to the amendment between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Room, 100 F Street NE, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of such filing also will be available for inspection and copying at the Participants' offices. All comments received will be posted without change. Persons submitting comments are cautioned that we do not redact or edit personal identifying information from comment submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number 4–698 and should be submitted on or before October 24, 2019.

By the Commission.

**Eduardo A. Aleman,**  
Deputy Secretary.

BILLING CODE 8011–01–P

**APPENDIX A**

Additions underlined; deletions [bracketed]

LIMITED LIABILITY COMPANY AGREEMENT  
OF  
[CAT NMS,] CONSOLIDATED AUDIT TRAIL, LLC  
a Delaware Limited Liability Company

\* \* \* \* \*

LIMITED LIABILITY COMPANY AGREEMENT  
OF  
[CAT NMS,] CONSOLIDATED AUDIT TRAIL, LLC  
a Delaware Limited Liability Company

This Limited Liability Company Agreement (including its Recitals and the Exhibits, Appendices, Attachments, and Schedules identified herein, this “Agreement”) of [CAT NMS,] CONSOLIDATED AUDIT TRAIL, LLC, a Delaware limited liability company (the “Company”), dated as of the [20th day of February, 2019] 29th day of August, 2019, is made and entered into by and among the Participants.

\* \* \* \* \*

Section 2.3. Name. The name of the Company is “[CAT NMS,] CONSOLIDATED AUDIT TRAIL, LLC.” The name of the Company may be changed at any time or from time to time with the approval of the Operating Committee. All Company business shall be conducted in that name or such other names that comply with applicable law as the Operating Committee may select from time to time.

\* \* \* \* \*

IN WITNESS WHEREOF, the Participants have executed this Limited Liability Company Agreement as of the day and year first above written.

PARTICIPANTS:

BOX EXCHANGE LLC [BATS BZX EXCHANGE, INC.]

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

CBOE [BATS] BYX EXCHANGE, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

## CBOE BZX EXCHANGE, INC. [BOX OPTIONS LLC]

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

CBOE EDGA EXCHANGE, INC. [C2 OPTIONS  
INCORPORATED]

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[CHICAGO BOARD OPTIONS EXCHANGE,  
INCORPORATED]

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_]

[CHICAGO STOCK] CBOE EDGX EXCHANGE, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[BATS EDGA] CBOE C2 EXCHANGE, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[BATS EDGX] CBOE EXCHANGE, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

FINANCIAL INDUSTRY REGULATORY AUTHORITY,  
INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[ISE GEMINI] INVESTORS' EXCHANGE, LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[ISE MERCURY] MIAX EMERALD, LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

MIAMI INTERNATIONAL SECURITIES EXCHANGE LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[INVESTORS' EXCHANGE LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_]

[MIAMI INTERNATIONAL SECURITIES EXCHANGE LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_]

MIAMI PEARL, LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

[MIAX EMERALD, LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_]

NASDAQ BX, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title:\_\_\_\_\_

NASDAQ [PHLX] GEMX, LLC

By:\_\_\_\_\_

Name:\_\_\_\_\_

Title:\_\_\_\_\_

NASDAQ ISE, LLC

By:\_\_\_\_\_

Name:\_\_\_\_\_

Title:\_\_\_\_\_

NASDAQ MRX, LLC

By:\_\_\_\_\_

Name:\_\_\_\_\_

Title:\_\_\_\_\_

NASDAQ PHLX LLC

By:\_\_\_\_\_

Name:\_\_\_\_\_

Title:\_\_\_\_\_

THE NASDAQ STOCK MARKET LLC

By:\_\_\_\_\_

Name:\_\_\_\_\_

Title:\_\_\_\_\_



[NATIONAL STOCK EXCHANGE, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_]

NEW YORK STOCK EXCHANGE LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

NYSE [MKT] AMERICAN LLC

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

NYSE ARCA, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

NYSE [ARCA] CHICAGO, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

NYSE NATIONAL, INC.

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

## EXHIBIT A

PARTICIPANTS IN [CAT NMS,] CONSOLIDATED AUDIT TRAIL, LLC

[Bats] <u>Cboe BZX Exchange, Inc.</u> <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u> [8050 Marshall Drive, Lenexa, KS 66214]	[Bats] <u>Cboe BYX Exchange, Inc.</u> <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u> [8050 Marshall Drive Lenexa, KS 66214]	<u>Cboe Exchange, Inc.</u> <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u> [BOX Options Exchange LLC 101 Arch St., Suite 610 Chicago, IL 60605]
<u>Cboe C2 Options Exchange, Inc.</u> [Incorporated] <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u>	[Chicago Board Options] <u>Cboe EDGA Exchange, Inc.</u> [Incorporated] <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u>	[Chicago Stock] <u>Cboe EDGX Exchange, Inc.</u> [440] <u>400 South LaSalle St.</u> <u>Chicago, IL 60605</u>
<u>BOX Exchange LLC</u> <u>101 Arch St., Suite 610</u> <u>Boston, MA 02110</u> [Bats EDGA Exchange, Inc.] 8050 Marshall Drive Lenexa, KS 66214]	<u>New York Stock Exchange LLC</u> <u>11 Wall St.</u> <u>New York, NY 10005</u> [Bats EDGX Exchange, Inc. 8050 Marshall Drive Lenexa, KS 66214]	<u>NYSE Chicago, Inc.</u> <u>440 South LaSalle St., Suite 800</u> <u>Chicago, IL 60605</u> [Financial Industry Regulatory Authority Inc. 1735 K Street, NW Washington DC, 20006]
<u>NYSE National, Inc.</u> <u>11 Wall St.</u> <u>New York, NY 10005</u> [ISE Gemini, LLC 60 Broad Street New York, New York 10004]	<u>NYSE American LLC</u> <u>11 Wall St.</u> <u>New York, NY 10005</u> [International Securities Exchange, LLC 60 Broad Street New York, New York 10004]	<u>NYSE Arca, Inc.</u> <u>11 Wall St.</u> <u>New York, NY 10005</u> [Miami International Securities Exchange LLC 7 Roszel Road, 5th floor Princeton, NJ 08540]
NASDAQ [BX] <u>GEMX, LLC</u> [Inc.] One Liberty Plaza 165 Broadway New York, NY 10006	NASDAQ [PHLX] <u>ISE, LLC</u> [.] <u>One Liberty Plaza</u> <u>165 Broadway</u> <u>New York, NY 10006</u> [1900 Market Street Philadelphia, PA 19103]	[The] NASDAQ [Stock Market] <u>MRX, LLC</u> <u>60 Broad Street</u> <u>New York, NY 10004</u> [One Liberty Plaza 165 Broadway New York, NY 10006]

<u>NASDAQ BX, Inc.</u> <u>One Liberty Plaza</u> <u>165 Broadway</u> <u>New York, NY 10006</u> [National Stock Exchange, Inc. 101 Hudson Street Suite 1200 Jersey City, NJ 07302]	<u>NASDAQ PHLX LLC.</u> <u>One Liberty Plaza</u> <u>165 Broadway</u> <u>New York, NY</u> <u>10006</u> [New York Stock Exchange LLC 11 Wall St. New York, NY 10005]	<u>The NASDAQ Stock Market</u> <u>LLC</u> <u>One Liberty Plaza</u> <u>165 Broadway</u> <u>New York, NY</u> <u>10006</u> [NYSE MKT LLC 11 Wall St. New York, NY 10005]
<u>Financial Industry Regulatory</u> <u>Authority, Inc.</u> <u>1735 K Street, NW</u> <u>Washington DC, 20006</u> [NYSE Arca, Inc. 11 Wall St. New York, NY 10005]	<u>Investors' Exchange, LLC</u> <u>3 World Trade Center,</u> <u>58th Floor</u> <u>New York, NY 10007</u> [ISE Mercury, LLC 60 Broad Street New York, NY 10004]	<u>Miami International</u> <u>Securities Exchange LLC</u> <u>7 Roszel Road, 5th floor</u> <u>Princeton, NJ 08540</u> [Investors' Exchange, LLC 4 World Trade Center 44th Floor New York, NY 10007]
MIAX PEARL, LLC 7 Roszel Road, 5th Floor, Princeton, New Jersey 08540	MIAX Emerald, LLC 7 Roszel Road, 5th Floor Princeton, New Jersey 08540	

[FR Doc. 2019-21492 Filed 10-2-19; 8:45 am]  
BILLING CODE 8011-01-C

## SECURITIES AND EXCHANGE COMMISSION

[Investment Company Act Release No.  
33651]

### Notice of Applications for Deregistration Under Section 8(f) of the Investment Company Act of 1940

September 27, 2019.

The following is a notice of applications for deregistration under section 8(f) of the Investment Company Act of 1940 for the month of August 2019. A copy of each application may be obtained via the Commission's website by searching for the file number, or for an applicant using the Company name box, at <http://www.sec.gov/search/search.htm> or by calling (202) 551-8090. An order granting each application will be issued unless the SEC orders a hearing. Interested persons may request a hearing on any application by writing to the SEC's Secretary at the address below and serving the relevant applicant with a copy of the request, personally or by mail. Hearing requests should be received by the SEC by 5:30 p.m. on October 22, 2019, and should be accompanied by proof of service on

applicants, in the form of an affidavit or, for lawyers, a certificate of service. Pursuant to Rule 0-5 under the Act, hearing requests should state the nature of the writer's interest, any facts bearing upon the desirability of a hearing on the matter, 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:** The Commission: Secretary, U.S. Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549-1090.

**FOR FURTHER INFORMATION CONTACT:** Shawn Davis, Assistant Director, at (202) 551-6413 or Chief Counsel's Office at (202) 551-6821; SEC, Division of Investment Management, Chief Counsel's Office, 100 F Street NE, Washington, DC 20549-8010.

#### **Aberdeen Emerging Markets Smaller Company Opportunities Fund, Inc. [File No. 811-08076]**

*Summary:* Applicant, a closed-end investment company, seeks an order declaring that it has ceased to be an investment company. The applicant has transferred its assets to Aberdeen Emerging Markets Equity Income Fund, Inc. (formerly, Aberdeen Chile Fund, Inc.), and on June 28, 2018, made a final distribution to its shareholders based on

net asset value. Expenses of \$294,766 incurred in connection with the reorganization were paid by the applicant.

*Filing Date:* The application was filed on July 16, 2019.

*Applicant's Address:* c/o Aberdeen Standard Investments, Inc., 1735 Market Street, 32nd Floor, Philadelphia, Pennsylvania 19103.

#### **Aberdeen Greater China Fund, Inc. [File No. 811-06674]**

*Summary:* Applicant, a closed-end investment company, seeks an order declaring that it has ceased to be an investment company. The applicant has transferred its assets to Aberdeen Emerging Markets Equity Income Fund, Inc. (formerly, Aberdeen Chile Fund, Inc.), and on June 28, 2018, made a final distribution to its shareholders based on net asset value. Expenses of approximately \$299,543 incurred in connection with the reorganization were paid by the applicant and the applicant's investment adviser.

*Filing Date:* The application was filed on July 16, 2019.

*Applicant's Address:* c/o Aberdeen Standard Investments, Inc., 1735 Market Street, 32nd Floor, Philadelphia, Pennsylvania 19103.