

proprietary account of the Industry Member when reporting the Firm Designated ID?

(3) Should each Industry Member make its own determination as to whether it is necessary to mask the entity identifier when using an entity identifier to report a Firm Designated ID?

(4) Would requiring the Firm Designated ID assigned by a broker-dealer to be persistent and unique for each account for each business date be sufficient to allow a single account to be tracked across time within a single Industry Member's records?

(5) Does the proposed amendment clearly define when and under what circumstances relationship identifiers could be used by Industry Members in lieu of standard Firm Designated IDs? Should the amended definition of Firm Designated ID, or the Participants' Compliance Rules,¹¹ specify when or how relationship identifiers can be used? Does the proposed definition of Firm Designated ID make clear what it means for relationship identifiers to be "masked"?

(6) Does the proposed amendment clearly define when entity identifiers could be used by Industry Members in lieu of standard Firm Designated IDs? Should the amended definition of Firm Designated ID, or the Participants' Compliance Rules, specify when entity identifiers can be used?

(7) Would the proposed amendment providing for usage of relationship identifiers and entity identifiers have any negative impact on customer obligations that broker-dealers have with regard to client accounts, such as know-your-customer obligations?

(8) Would the proposed amendment cause Industry Members to incur additional expenses to alter their existing workflows? If so, what is the scope of these additional expenses?

(9) Would the proposed amendment impact efficiency, competition or capital formation?

(10) Would the proposed amendment impact competition? If so, what type of

competitors would be affected and in what market? Would this change in competition affect the services and/or prices customers experience in this market?

(11) Would any efficiency gains of the proposed amendment impact capital formation? If so, how? Would there be other impacts on capital formation?

(12) Do commenters agree with the Participants that by enhancing the regulatory utility of the CAT while reducing the need to access Customer information, the proposed amendment would enhance the efficiency and capital formation of our markets? How so?

(13) Will the proposed amendment enhance the efficiency of CAT reporting by permitting the usage of relationship identifiers and entity identifiers as Firm Designated IDs? Will the proposed amendment permit Industry Members to maintain existing order workflows, rather than employing resources to alter those workflows solely for CAT reporting purposes?

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. 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 July 8, 2020.

By the Commission.

J. Matthew DeLesDernier,
Assistant Secretary.

Appendix A

[additions italicized; deletions bracketed]

LIMITED LIABILITY COMPANY AGREEMENT OF CONSOLIDATED AUDIT TRAIL, LLC

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ARTICLE I

Section 1.1. *Definitions.* As used throughout this Agreement (including, for the avoidance of doubt, the Exhibits, Appendices, Attachments, Recitals and Schedules identified in this Agreement):

* * * * *

"Firm Designated ID" means (1) a unique and persistent identifier for each trading account designated by Industry Members for purposes of providing data to the Central Repository provided, however, such identifier may not be the account number for such trading account if the trading account is not a proprietary account; (2) a unique and persistent relationship identifier when an Industry Member does not have an account number available to its order handling and/or execution system at the time of order receipt, provided, however, such identifier must be masked; or (3) a unique and persistent entity identifier when an employee of an Industry Member is exercising discretion over multiple client accounts and creates an aggregated order for which a trading account number of the Industry Member is not available at the time of order origination, where each such identifier is unique among all identifiers from any given Industry Member [for each business date].

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[FR Doc. 2020-13000 Filed 6-16-20; 8:45 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

Sunshine Act Meetings

FEDERAL REGISTER CITATION OF PREVIOUS ANNOUNCEMENT: 85 FR 35966, June 12, 2020.

PREVIOUSLY ANNOUNCED TIME AND DATE OF THE MEETING: Wednesday, June 17, 2020 at 2:00 p.m.

CHANGES IN THE MEETING: The Closed Meeting scheduled for Wednesday, June

¹¹ The CAT NMS Plan defines "Compliance Rule" as, with respect to a Participant, the rule(s) promulgated by such Participant as contemplated by Section 3.11. See CAT NMS Plan, *supra* note 1, at Section 1.1. Section 3.11 states that "[e]ach Participant shall comply with and enforce compliance, as required by SEC Rule 608(c), by its Industry Members with the provisions of SEC Rule 613 and of this Agreement, as applicable, to the Participant and its Industry Members. The Participants shall endeavor to promulgate consistent rules (after taking into account circumstances and considerations that may impact Participants differently) requiring compliance by their respective Industry Members with the provisions of SEC Rule 613 and this Agreement." See *id.* at Section 3.11.

17, 2020 at 2:00 p.m. has been changed to Wednesday, June 17, 2020 at 12:30 p.m.

CONTACT PERSON FOR MORE INFORMATION: For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact Vanessa A. Countryman, Secretary, in the Office of the Secretary at (202) 551-5400.

Dated: June 12, 2020.

Vanessa A. Countryman,
Secretary.

[FR Doc. 2020-13089 Filed 6-15-20; 11:15 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

[SEC File No. 270-777, OMB Control No. 3235-0729]

Proposed Collection 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:

Form N-CEN

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") is soliciting comments on the collection of information summarized below. The Commission plans to submit this existing collection of information to the Office of Management and Budget for extension and approval.

The title for the collection of information is "Form N-CEN under the Investment Company Act of 1940." Form N CEN is used to collect annual, census-type information for registered funds. Filers must submit this report electronically using the Commission's electronic filing system ("EDGAR") in Extensible Markup Language ("XML") format. The purpose of Form N-CEN is to satisfy the filing and disclosure requirements of Section 30 of the Investment Company Act, and of rule 30a-1 thereunder.

We estimate that the average annual hour burden to complete the generally applicable items on Form N-CEN response will be 12.31 hours per year. We estimate that the aggregate annual hour burden to complete the generally applicable items will be 34,899 hours per year. We therefore estimate that filers would have total average annualized paperwork related expenses

related to complete the generally applicable items of \$12,249,496.35 for reports on Form N-CEN. Additionally, we estimate that filers will be required to file 12,365 responses related to liquidity risk management items on Form N-CEN. We estimate that the average annual hour burden of the liquidity risk management items on Form N-CEN will be one hour per response per year, for an additional average annual hour burden of 12,365 hours and average aggregate time costs of \$4,340,115. Additionally, we estimate that filers will be required to file 9,854 responses regarding swing pricing. We estimate that the average annual hour burden as a result of the swing pricing-related items on Form N-CEN will be an additional 0.5 hour per fund per year for an average annual hour burden of 4,927 hours and average aggregate time costs of \$1,729,377. We estimate that filers will be required to file 2,091 responses regarding rule 6c-11. For these responses related to rule 6c-11, we an average annual hour burden of 0.1 hour per response per year, for an average annual hour burden of 209.1 hours and average aggregate time costs of \$73,394.1.

We estimate that the total hour burdens and time costs associated with Form N-CEN, including the burdens associated with the liquidity-related, swing pricing-related, and rule 6c-11-related items, will result in an average annual hour burden of 52,397 hours and average aggregate time costs of \$18,392,382.45.

The requirements of this collection of information are mandatory. Responses 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.

Written comments are invited on: (a) 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; (b) the accuracy of the agency's estimate of the burden of the collection of information; (c) ways to enhance the quality, utility, and clarity of the information collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication.

Please direct your written comments to David Bottom, Director/Chief

Information Officer, Securities and Exchange Commission, C/O Cynthia Roscoe, 100 F Street NE, Washington, DC 20549; or send an email to: PRA_Mailbox@sec.gov.

Dated: June 12, 2020.

J. Matthew DeLesDernier,
Assistant Secretary.

[FR Doc. 2020-13069 Filed 6-16-20; 8:45 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-89047; File No. SR-CboeBZX-2020-048]

Self-Regulatory Organizations; Cboe BZX Exchange, Inc.; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Its Fee Schedule

June 11, 2020.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (the "Act"),¹ and Rule 19b-4 thereunder,² notice is hereby given that on June 2, 2020, Cboe BZX Exchange, Inc. (the "Exchange" or "BZX") filed with the Securities and Exchange Commission (the "Commission") the proposed rule change as described in Items I, II, and III below, which Items have been prepared by the Exchange. 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

Cboe BZX Exchange, Inc. (the "Exchange" or "BZX") is filing with the Securities and Exchange Commission ("Commission") a proposed rule change to amend its Fee Schedule. The text of the proposed rule change is provided in Exhibit 5.

The text of the proposed rule change is also available on the Exchange's website (http://markets.cboe.com/us/equities/regulation/rule_filings/bzx/), at the Exchange's Office of the Secretary, 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 Exchange included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.