

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-MIAX-2020-37, and should be submitted on or before January 7, 2021.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>16</sup>

**J. Matthew DeLesDernier,**  
Assistant Secretary.

[FR Doc. 2020-27719 Filed 12-16-20; 8:45 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

### Sunshine Act Meetings

**FEDERAL REGISTER CITATION OF PREVIOUS ANNOUNCEMENTS:** 85 FR 80875, December 14, 2020.

**PREVIOUSLY ANNOUNCED TIME AND DATE OF THE MEETINGS:** Wednesday, December 16, 2020 at 10:00 a.m.

**CHANGES IN THE MEETING:** The following item will not be considered during the Open Meeting on Wednesday, December 16, 2020:

2. The Commission will consider whether to adopt amendments under the Investment Advisers Act of 1940 (the "Advisers Act") to update rules that govern investment adviser marketing to accommodate the continual evolution and interplay of technology and advice, while preserving investor protections. The Commission will also consider whether to adopt amendments to Form ADV to provide the Commission with additional information about advisers' marketing practices, and corresponding amendments to the books and records rule under the Advisers Act.

In addition, the following previously scheduled matter will be considered on

December 21, 2020, during the Open Meeting:

3. The Commission will consider whether to approve a proposed rule change by New York Stock Exchange LLC to amend Chapter One of the Listed Company Manual to modify the provisions relating to direct listings.

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

Dated: December 14, 2020.

**Vanessa A. Countryman,**  
Secretary.

[FR Doc. 2020-27867 Filed 12-15-20; 11:15 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-90650; File No. SR-NYSEAMER-2020-84]

### Self-Regulatory Organizations; NYSE American LLC; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend the NYSE American Options Fee Schedule

December 11, 2020.

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 December 7, 2020, NYSE American LLC ("NYSE American" or the "Exchange") 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 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 amend the NYSE American Options Fee Schedule ("Fee Schedule") regarding credits and incentives relating to Complex Customer Best Execution Auctions. The Exchange proposes to implement the fee changes effective December 7, 2020.<sup>4</sup> The proposed change is available on the Exchange's website at [www.nyse.com](http://www.nyse.com), at

<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.

<sup>4</sup> The Exchange originally filed to amend the Fee Schedule on December 1, 2020 (SR-NYSEAMER-2020-82) and withdrew such filing on December 7, 2020.

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 purpose of this filing is to modify the Fee Schedule to (1) amend the criteria to qualify for a credit available to Initiating Participants in a Complex Customer Best Execution ("CUBE") Auction,<sup>5</sup> and (2) eliminate an unused incentive that had been designed to encourage the use of Complex CUBE Auctions. The Exchange proposes to implement the rule changes on December 7, 2020.

###### Proposed Modifications to the Fee Schedule

###### Volume Qualification for Alternative Initiating Participant Rebate

Section I.G. of the Fee Schedule sets forth the rates for per contract fees and credits for executions associated with Single-Leg and Complex CUBE Auctions.<sup>6</sup> To encourage participants to utilize Complex CUBE Auctions, the Exchange offers rebates and credits on certain initiating Complex CUBE volume. Currently, the Exchange offers Initiating Participant Rebates for the first 1,000 contracts per leg of a Complex CUBE Order executed in a Complex CUBE Auction.<sup>7</sup> The Exchange offers an ACE Initiating Participant Rebate to ATP Holders that qualify for the American Customer Engagement

<sup>5</sup> See generally Rule 971.2NY (regarding Complex CUBE Auctions). Unless otherwise specified, capitalized terms have the same meaning as the defined terms in Rule 971.2NY.

<sup>6</sup> See Fee Schedule, Section I.G., CUBE Auction Fees & Credits.

<sup>7</sup> See *id.*, Complex CUBE Auction, note 2 (setting forth both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate).

<sup>16</sup> 17 CFR 200.30-3(a)(12).