

NATIONAL SCIENCE FOUNDATION**Notice of Permit Applications Received Under the Antarctic Conservation Act of 1978**

AGENCY: National Science Foundation.

ACTION: Notice of permit applications received.

SUMMARY: The National Science Foundation (NSF) is required to publish a notice of permit applications received to conduct activities regulated under the Antarctic Conservation Act of 1978. NSF has published regulations under the Antarctic Conservation Act in the Code of Federal Regulations. This is the required notice of permit applications received.

DATES: Interested parties are invited to submit written data, comments, or views with respect to this permit application by November 19, 2021. This application may be inspected by interested parties at the Permit Office, address below.

ADDRESSES: Comments should be addressed to Permit Office, Office of Polar Programs, National Science Foundation, 2415 Eisenhower Avenue, Alexandria, Virginia 22314 or ACApermits@nsf.gov.

FOR FURTHER INFORMATION CONTACT: Polly Penhale, ACA Permit Officer, at the above address, 703-292-8030.

SUPPLEMENTARY INFORMATION: The National Science Foundation, as directed by the Antarctic Conservation Act of 1978 (Pub. L. 95-541, 45 CFR 671), as amended by the Antarctic Science, Tourism and Conservation Act of 1996, has developed regulations for the establishment of a permit system for various activities in Antarctica and designation of certain animals and certain geographic areas as requiring special protection. The regulations establish such a permit system to designate Antarctic Specially Protected Areas.

Application Details

Permit Application: 2022-017

1. *Applicant:* Dr. Heather Lynch, Stony Brook University IACS 163 Stony Brook, NY 11794

Activity for Which Permit is

Requested: Take, Harmful Interference. The applicant seeks an Antarctic Conservation Act permit for activities associated with long-term population studies of Antarctic penguin species. The applicant proposes using unmanned aerial systems (UAVs) and manual surveying techniques to improve understanding of penguin distribution and abundance in the

Weddell Sea region. Flights will be conducted by trained pilots in fair-weather conditions and in the presence of observers. All flights over wildlife concentrations will be conducted at an altitude of no less than 40 meters, to limit possible disturbance to wild populations. This permit seeks to cover any harmful interference with wild populations that may result from UAV use as well as any take that may occur as a result of research activities.

Location: Danger Islands, Weddell Sea, Antarctica.

Dates of Permitted Activities: January 1, 2022–April 1, 2022.

Erika N. Davis,

Program Specialist, Office of Polar Programs.

[FR Doc. 2021-22855 Filed 10-19-21; 8:45 am]

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SUPPLEMENTARY INFORMATION: The National Science Foundation, as directed by the Antarctic Conservation Act of 1978 (Pub. L. 95-541, 45 CFR 670), as amended by the Antarctic Science, Tourism and Conservation Act of 1996, has developed regulations for the establishment of a permit system for various activities in Antarctica and designation of certain animals and

certain geographic areas as requiring special protection. The regulations establish such a permit system to designate Antarctic Specially Protected Areas.

Application Details

Permit Application: 2022-018

1. *Applicant:* Dr. Heather Lynch, Stony Brook University IACS 163 Stony Brook, NY 11794

Activity for Which Permit Is

Requested: Waste Management. The applicant seeks an Antarctic Conservation Act waste management permit for activities associated with long-term penguin research in the Weddell Sea. The applicant proposes using battery-powered, quadrotor unmanned aerial systems (UAVs) to assist in the collection of data for a multi-scale population census of penguin colonies in the Weddell Sea. Mitigation measures will be put in place to prevent loss of aircraft. These measures include UAVs being flown by trained pilots in fair-weather conditions and having stationed observers maintain visual contact with the aircraft at all times. The applicant proposes various recovery methods in the unlikely event that an aircraft is lost over land or sea. These measures will limit any potential impacts on the Antarctic environment. The applicant seeks a waste permit to cover any accidental release that may result from UAV use.

Location: Danger Islands, Weddell Sea, Antarctica.

Dates of Permitted Activities: January 1, 2022–April 1, 2022.

Erika N. Davis,

Program Specialist, Office of Polar Programs.

[FR Doc. 2021-22854 Filed 10-19-21; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-93332; File Nos. SR-NYSE-2021-15, SR-NYSEAMER-2021-13, SR-NYSEArca-2021-15, SR-NYSENAT-2021-05, SR-NYSECHX-2021-04]

Self-Regulatory Organizations; New York Stock Exchange LLC; NYSE American LLC; NYSE Arca, Inc.; NYSE National, Inc.; NYSE Chicago, Inc.; Notice of Withdrawal of Proposed Rule Changes To Amend Each of the Exchange's Fee Schedules Related to Co-Location

October 14, 2021.

On March 10, 2021, New York Stock Exchange LLC ("NYSE"), NYSE American LLC ("NYSE American"),

NYSE Arca, Inc. (“NYSE Arca”), NYSE National, Inc. (“NYSE National”), and NYSE Chicago, Inc. (“NYSE Chicago”) (each an “Exchange,” collectively, the “Exchanges”) each filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”) ¹ and Rule 19b-4 thereunder,² a proposed rule change to amend the Exchanges’ fee schedules related to co-location to provide Users with access to the systems and connectivity to the data feeds of several third parties and establish associated fees. Each proposed rule change was immediately effective upon filing with the Commission pursuant to Section 19(b)(3)(A) of the Act.³

The proposed rule changes were published for comment in the **Federal Register** on March 29, 2021.⁴ On May 7, 2021, the Commission, pursuant to Section 19(b)(3)(C) of the Act ⁵ temporarily suspended File Nos. SR-NYSE-2021-15, SR-NYSEAMER-2021-13, SR-NYSEArca-2021-15, SR-NYSENAT-2021-05, and SR-NYSECHX-2021-04; and (2) instituted proceedings to determine whether to approve or disapprove File Nos. SR-NYSE-2021-15, SR-NYSEAMER-2021-13, SR-NYSEArca-2021-15, SR-NYSENAT-2021-05, and SR-NYSECHX-2021-04.⁶ The Commission received two comment letters on the proposal from the Exchanges.⁷ On September 23, 2021, pursuant to Section 19(b)(2) of the Act,⁸ the Commission designated a longer period for Commission action on the proceedings to determine whether to approve or disapprove the proposed rule changes.⁹ On October 12, 2021, each Exchange withdrew its proposed rule change (SR-NYSE-2021-15, SR-NYSEAMER-2021-13, SR-NYSEArca-2021-15, SR-

NYSENAT-2021-05, SR-NYSECHX-2021-04).

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁰

J. Matthew DeLesDernier,

Assistant Secretary.

[FR Doc. 2021-22799 Filed 10-19-21; 8:45 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-93324; File No. 4-700]

Program for Allocation of Regulatory Responsibilities Pursuant to Rule 17d-2; Notice of Filing and Order Approving and Declaring Effective an Amended Plan for the Allocation of Regulatory Responsibilities Between the Financial Industry Regulatory Authority, Inc. and Investors’ Exchange LLC

October 14, 2021.

Notice is hereby given that the Securities and Exchange Commission (“Commission”) has issued an Order, pursuant to Section 17(d) of the Securities Exchange Act of 1934 (“Act”),¹ approving and declaring effective an amendment to the plan for allocating regulatory responsibility (“Plan”) filed on September 13, 2021, pursuant to Rule 17d-2 of the Act,² by the Financial Industry Regulatory Authority, Inc. (“FINRA”) and Investors’ Exchange LLC (“IEX”) (collectively, “Participating Organizations” or “parties”). This agreement amends and restates the agreement entered into between FINRA and IEX on June 20, 2016, entitled “Agreement between Financial Industry Regulatory Authority, Inc. and Investors’ Exchange LLC pursuant to Rule 17d-2 under the Securities Exchange Act of 1934,” and any subsequent amendments thereafter.

I. Introduction

Section 19(g)(1) of the Act,³ among other things, requires every self-regulatory organization (“SRO”) registered as either a national securities exchange or national securities association to examine for, and enforce compliance by, its members and persons associated with its members with the Act, the rules and regulations thereunder, and the SRO’s own rules, unless the SRO is relieved of this responsibility pursuant to Section

17(d)⁴ or Section 19(g)(2)⁵ of the Act. Without this relief, the statutory obligation of each individual SRO could result in a pattern of multiple examinations of broker-dealers that maintain memberships in more than one SRO (“common members”). Such regulatory duplication would add unnecessary expenses for common members and their SROs.

Section 17(d)(1) of the Act ⁶ was intended, in part, to eliminate unnecessary multiple examinations and regulatory duplication.⁷ With respect to a common member, Section 17(d)(1) authorizes the Commission, by rule or order, to relieve an SRO of the responsibility to receive regulatory reports, to examine for and enforce compliance with applicable statutes, rules, and regulations, or to perform other specified regulatory functions.

To implement Section 17(d)(1), the Commission adopted two rules: Rule 17d-1 and Rule 17d-2 under the Act.⁸ Rule 17d-1 authorizes the Commission to name a single SRO as the designated examining authority (“DEA”) to examine common members for compliance with the financial responsibility requirements imposed by the Act, or by Commission or SRO rules.⁹ When an SRO has been named as a common member’s DEA, all other SROs to which the common member belongs are relieved of the responsibility to examine the firm for compliance with the applicable financial responsibility rules. On its face, Rule 17d-1 deals only with an SRO’s obligations to enforce member compliance with financial responsibility requirements. Rule 17d-1 does not relieve an SRO from its obligation to examine a common member for compliance with its own rules and provisions of the federal securities laws governing matters other than financial responsibility, including sales practices and trading activities and practices.

To address regulatory duplication in these and other areas, the Commission adopted Rule 17d-2 under the Act.¹⁰ Rule 17d-2 permits SROs to propose joint plans for the allocation of regulatory responsibilities with respect

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ 15 U.S.C. 78s(b)(3)(A).

⁴ See Securities Exchange Act Release Nos. 91386 (March 23, 2021), 86 FR 16410 (March 29, 2021); 91387 (March 23, 2021), 86 FR 16417 (March 29, 2021); 91388 (March 23, 2021), 86 FR 16433 (March 29, 2021); 91389 (March 23, 2021), 86 FR 16403 (March 29, 2021); 91390 (March 23, 2021), 86 FR 16424 (March 29, 2021).

⁵ 15 U.S.C. 78s(b)(3)(C).

⁶ See Securities Exchange Act Release No. 91790 (May 7, 2021), 86 FR 26242 (May 13, 2021).

⁷ The comment letters received by the Commission on the proposed rule changes are available on the Commission’s website at: <https://www.sec.gov/comments/sr-nyse-2021-15/srnyse202115.htm>. NYSE filed comment letters on behalf of all of the Exchanges.

⁸ 15 U.S.C. 78s(b)(2).

⁹ See Securities Exchange Act Release No. 93107, 86 FR 53995 (September 29, 2021).

¹⁰ 17 CFR 200.30-3(a)(12).

¹ 15 U.S.C. 78q(d).

² 17 CFR 240.17d-2.

³ 15 U.S.C. 78s(g)(1).

⁴ 15 U.S.C. 78q(d).

⁵ 15 U.S.C. 78s(g)(2).

⁶ 15 U.S.C. 78q(d)(1).

⁷ See Securities Act Amendments of 1975, Report of the Senate Committee on Banking, Housing, and Urban Affairs to Accompany S. 249, S. Rep. No. 94-75, 94th Cong., 1st Session 32 (1975).

⁸ 17 CFR 240.17d-1 and 17 CFR 240.17d-2, respectively.

⁹ See Securities Exchange Act Release No. 12352 (April 20, 1976), 41 FR 18808 (May 7, 1976).

¹⁰ See Securities Exchange Act Release No. 12935 (October 28, 1976), 41 FR 49091 (November 8, 1976).