

Dated: September 9, 2009.

Karen G. Mills,
Administrator.

[FR Doc. E9-22294 Filed 9-15-09; 8:45 am]

BILLING CODE 8025-01-P

SECURITIES AND EXCHANGE COMMISSION

Submission for OMB Review; Comment Request

Upon written request, copies available from: Securities and Exchange Commission, Office of Investor Education and Advocacy, Washington, DC 20549-0213.

Extension: Form T-6, OMB Control No. 3235-0391, SEC File No. 270-344.

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 a request for extension of the previously approved collection of information discussed below.

Form T-6 (17 CFR 269.9) is a statement of eligibility and qualification for a foreign corporate trustee under the Trust Indenture Act of 1939 (15 U.S.C. 77aaa *et seq.*). Form T-6 provides the basis for determining if the foreign corporate trustee is qualified. Form T-6 is filed on occasion. The information collected must be filed with the Commission and is publicly available. Form T-6 takes approximately 17 burden hours per response and is filed by approximately 15 respondents annually. We estimate that 25% of the 17 hours (4.25 hours) is prepared by the filer for an annual reporting burden of 64 hours (4.25 hours per response × 15 responses).

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 regarding the above information should be directed to the following persons: (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 send an e-mail to Shagufta_Ahmed@omb.eop.gov; and (ii) Charles Boucher, Director/CIO, Securities and Exchange Commission, C/O Shirley Martinson, 6432 General Green Way, Alexandria, Virginia 22312; or send an e-mail to:

PRA_Mailbox@sec.gov. Comments must

be submitted to OMB within 30 days of this notice.

Dated: September 8, 2009.

Florence E. Harmon,
Deputy Secretary.

[FR Doc. E9-22247 Filed 9-15-09; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-60643; File No. 4-590]

Securities Lending and Short Sale Roundtable

AGENCY: Securities and Exchange Commission.

ACTION: Notice of roundtable discussion; request for comment.

SUMMARY: The Commission will host a one and a half day roundtable to solicit the views of investors, issuers, financial services firms, self-regulatory organizations and the academic community regarding securities lending and short sales. The roundtable will include a comprehensive overview of securities lending and also analyze possible short sale pre-borrowing requirements and additional short sale disclosures.

The roundtable discussion will be held in the auditorium of the Securities and Exchange Commission headquarters at 100 F Street, NE., in Washington, DC on September 29, 2009 from 9:30 a.m. to approximately 4 p.m. (securities lending) and September 30, 2009 from 9:30 a.m. to approximately 12:30 p.m. (pre-borrowing and possible additional short sale disclosures). The public is invited to observe the roundtable discussion. Seating will be available on a first-come, first-served basis. The roundtable discussion also will be available via Web cast on the Commission's Web site at <http://www.sec.gov>.

The roundtable will consist of panels focused on securities lending and possible short sale pre-borrowing requirements and additional short sale disclosures. The panelists will consider a range of securities lending topics, such as current lending practices and participants, compensation arrangements and conflicts, the benefits and risks of securities lending, risks related to cash collateral reinvestment, improvements to transparency, and consideration of whether the securities lending regulatory regime can be improved for the benefit of investors. The panelists will also consider short sale disclosure topics, such as whether investors would benefit from adding a

short sale indicator to the tapes to which transactions are reported for exchange-listed securities, and requiring public disclosure of individual large short positions. In addition, the panelists will evaluate the potential impact of imposing a pre-borrow or enhanced "locate" requirement on short sellers, potentially on a pilot basis, as a way to curtail abusive "naked" short selling.

DATES: The roundtable discussion will take place on September 29, 2009 (securities lending) and September 30, 2009 (pre-borrowing and possible additional short sale disclosures). The Commission will accept comments regarding issues addressed in the roundtable discussion until October 30, 2009.

ADDRESSES: Comments may be submitted by any of the following methods:

Electronic Comments

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/other.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number 4-590 on the subject line.

Paper Comments

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

All submissions should refer to File Number 4-590. This file number should be included on the subject line if e-mail is used. To help us process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site (<http://www.sec.gov>). Comments are also available for public inspection and copying in the Commission's Public Reference Room, 100 F Street, NE., Washington, DC 20549, on official business days between the hours of 10 a.m. and 3 p.m. All comments received will be posted without change; we do not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly.

FOR FURTHER INFORMATION CONTACT: The Division of Trading and Markets, at (202) 551-5720, Securities and Exchange Commission, 100 F Street NE., Washington DC 20549-7561.

Dated: September 10, 2009.

By the Commission.

Elizabeth M. Murphy,
Secretary.

[FR Doc. E9-22264 Filed 9-15-09; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

Sunshine Act Meeting

Notice is hereby given, pursuant to the provisions of the Government in the Sunshine Act, Public Law 94-409, that the Securities and Exchange Commission will hold a roundtable about securities lending and short sale issues on September 29 and September 30, 2009.

The roundtable discussion will be held in the auditorium at SEC headquarters at 100 F Street, NE., in Washington, DC. On September 29, the roundtable will focus on securities lending issues and take place from 9:30 a.m. to approximately 4 p.m. On September 30, the roundtable will focus on short sale pre-borrowing and additional short sale disclosures and take place from 9:30 a.m. to approximately 12:30 p.m.

The roundtable will be open to the public with seating on a first-come, first-served basis. Visitors will be subject to security checks.

For further information, please contact:

The Office of the Secretary at (202) 551-5400.

Dated: September 14, 2009.

Elizabeth M. Murphy,
Secretary.

[FR Doc. E9-22431 Filed 9-14-09; 4:15 pm]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-60639; File No. SR-CTA-2008-01]

Consolidated Tape Association; Order Approving the Eleventh Charges Amendment to the Second Restatement of the Consolidated Tape Association Plan To Waive the Automatic Annual Increase in the Enterprise Cap for 2008

September 9, 2009.

I. Introduction

On June 7, 2009, the Consolidated Tape Association (“CTA”) Plan Participants (“Participants”)¹ filed with

¹ Each Participant executed the proposed amendment. The Participants are the American

the Securities and Exchange Commission (“SEC” or “Commission”) pursuant to Section 11A of the Securities Exchange Act of 1934 (“Act”),² and Rule 608 thereunder,³ a proposal to amend the Second Restatement of the CTA Plan (the “Plan”)⁴ to waive the automatic annual increase in the enterprise cap for 2008. The proposed Plan amendment was published for comment in the **Federal Register** on June 29, 2009.⁵ No comment letters were received in response to the Notice. This order approves the proposed Plan amendment.

II. Description of the Proposal

The Plan currently caps the maximum monthly charge that a broker-dealer is required to pay in respect of the aggregate amount of: (1) Network A display-device charges for devices that the broker-dealer’s officers, partners and employees use; plus (2) Network A display-device and per-quote-packet charges that the broker-dealer pays in respect of services that it provides to nonprofessional subscribers that are brokerage account customers of the broker-dealer (“Enterprise Cap”).⁶

Footnote 5 to Schedule A-1 of Exhibit E to the CTA Plan subjects the Enterprise Cap to an automatic annual increase. The automatic annual increase is equal to “the percentage increase in the annual composite share volume for the preceding calendar year, subject to a maximum annual increase of five percent.”

Through this amendment, the Participants proposed to amend the CTA Plan to waive the automatic annual increase in the Enterprise Cap for 2008. As a result, the monthly fee will remain at \$660,000 for 2008, the same amount as for 2007. The waiver applies to the Enterprise Cap only, and not to the “Television Ticker Maximum,” also set forth in Footnote 6 to Schedule A-1 of Exhibit E to the CTA Plan. The

Stock Exchange LLC (n/k/a NYSE Alternext US LLC); Boston Stock Exchange, Inc. (n/k/a NASDAQ OMX BX, Inc.); Chicago Board Options Exchange, Incorporated; Chicago Stock Exchange, Inc.; Financial Industry Regulatory Authority, Inc.; International Securities Exchange, LLC; The NASDAQ Stock Market LLC (“Nasdaq”); National Stock Exchange, Inc.; New York Stock Exchange LLC (“NYSE”); NYSE Arca, Inc.; and Philadelphia Stock Exchange, Inc. (n/k/a NASDAQ OMX PHLX, Inc.).

² 15 U.S.C. 78k-1.

³ 17 CFR 242.608.

⁴ The proposal was originally submitted on June 19, 2008, however the exhibits did not reflect the plan language accurately. It was refiled on June 7, 2009 with appropriate exhibits.

⁵ See Securities Exchange Act Release No. 60154 (June 19, 2009), 74 FR 31076 (“Notice”).

⁶ Enterprise Cap found in Schedule A-1 of Exhibit E to the CTA Plan.

amendment also proposed to update Footnote 6 by applying the automatic annual increase to the “Television Ticker Maximum,” by bringing that monthly fee to \$157,000 for 2008.

III. Discussion

After careful review, the Commission finds that the proposed CTA Plan amendment is consistent with the Act and the rules and regulations thereunder.⁷ Specifically, the Commission finds that the amendment is consistent with Rule 608(b)(2)⁸ of the Act in that it is necessary for the protection of investors, the maintenance of fair and orderly markets, and to remove impediments to a national market system. The proposed amendment would reduce the amount of fees paid by some entities which should result in a reduction of costs for investors. Thus, the proposed amendment is consistent with, and would further, one of the principal objectives for the national market system set forth in Section 11A(a)(1)(C)(iii)⁹ of the Act—increasing the availability of market information to broker-dealers and investors.

IV. Conclusion

It is therefore ordered, pursuant to Section 11A of the Act,¹⁰ and the rules thereunder, that the proposed amendment to the CTA Plan (SR-CTA-2008-01) is approved.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹¹

Florence E. Harmon,
Deputy Secretary.

[FR Doc. E9-22244 Filed 9-15-09; 8:45 am]

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⁷ In approving this amendment, the Commission has considered the proposed amendment’s impact on efficiency, competition, and capital formation. 15 U.S.C. 78c(f).

⁸ 17 CFR 242.608 (b)(2).

⁹ 15 U.S.C. 78k-1(a)(1)(C)(iii).

¹⁰ 15 U.S.C. 78k-1.

¹¹ 17 CFR 200.30-3(a)(27).