

approximately one page or less in length (4,000 characters) are requested. This request will be active through January 21, 11:59 pm EST.

**DATES:** Comments were previously invited through 11:59 p.m. EST on January 6, 2011. This notice extends the period for public comment through January 21, 11:59 pm EST.

**ADDRESSES:** Respondents are encouraged to register online at the NNI Strategy Portal at <http://strategy.nano.gov> to post their comments (4,000 characters or less) as a response to the request for public comment. Alternatively, comments of one page in length or less may be submitted via e-mail to: [nnistrategy@ostp.gov](mailto:nnistrategy@ostp.gov). Any information you provide to us may be posted online. Therefore, do *not* send any information that might be considered proprietary, personal, sensitive, or confidential.

**Overview:** The National Nanotechnology Initiative Strategy for Nanotechnology-Related Environmental, Health, and Safety Research or “NNI EHS Strategy” helps to facilitate achievement of the National Nanotechnology Initiative vision by laying out guidance for agency leaders, program managers, and the research community regarding planning and implementation of nanotechnology EHS R&D investments and activities.

The NNI is a U.S. Government R&D program of 25 agencies working together toward the common challenging vision of a future in which the ability to understand and control matter at the nanoscale leads to a revolution in technology and industry that benefits society. The combined, coordinated efforts of these agencies have accelerated discovery, development, and deployment of nanotechnology towards agency missions and the broader national interest. Established in 2001, the NNI involves nanotechnology-related activities by the 25 member agencies, 15 of which have requested budgets for nanotechnology R&D for Fiscal Year (FY) 2011.

The NNI is managed within the framework of the National Science and Technology Council (NSTC), the Cabinet-level council that coordinates science and technology across the Federal government and interfaces with other sectors. The Nanoscale Science, Engineering, and Technology (NSET) Subcommittee of the NSTC coordinates planning, budgeting, program implementation, and review of the NNI. The NSET Subcommittee is composed of senior representatives from agencies participating in the NNI (<http://www.nano.gov>). The NSET

Subcommittee and its Nanotechnology Environmental and Health Implications (NEHI) Working Group provide leadership in establishing the NNI environmental, health, and safety research agenda and in communicating data and information related to the environmental and health aspects of nanotechnology between NNI agencies and with the public. NNI activities support the development of the new tools and methods required for the research that will enable risk analysis and assist in regulatory decision-making.

The NSET Subcommittee has solicited multiple streams of input to inform the development of this latest NNI EHS Strategy. Independent reviews of the NNI by the President’s Council of Advisors on Science and Technology and the National Research Council of the National Academies have made specific recommendations for improving the NNI EHS strategy. A series of four NNI workshops took place in 2009–2010 to solicit input for this strategy: 1. Human & Environmental Exposure Assessment of Nanomaterials (details at <http://www.nano.gov/html/meetings/exposure/>), 2. Nanomaterials and the Environment & Instrumentation, Metrology, and Analytical Methods (details at <http://www.nano.gov/html/meetings/environment/>), 3. Nanomaterials and Human Health & Instrumentation, Metrology, and Analytical Methods (details at <http://www.nano.gov/html/meetings/humanhealth/>), and 4. Capstone: Risk Management Methods & Ethical, Legal, and Societal Implications of Nanotechnology (details at <http://www.nano.gov/html/meetings/capstone/>). Additional input has come from the NNI Strategic Planning Stakeholders Workshop (details at <http://www.nano.gov/html/meetings/NNISWorkshop/>) as well as in responses to a Request for Information published in the **Federal Register** on July 6, 2010, and comments posted online in response to challenge questions from July 13–August 15, 2010, at the NNI Strategy Portal (<http://strategy.nano.gov>).

The draft NNI EHS Strategy complements the 2010 NNI Strategic Plan by setting forth the NNI strategy for nanotechnology-related environmental, health, and safety (EHS) research. It describes the NNI vision and goals for Federal EHS research and presents the current NNI EHS research portfolio. The EHS strategy includes a description of the NNI EHS research investment by research need, the state of the science, and an analysis of the gaps and barriers to achieving that research as part of the

NNI’s adaptive management of this strategy. This strategy updates and replaces the NNI EHS Strategy of February 2008. The NNI EHS Strategy aims to ensure the responsible development of nanotechnology by providing guidance to the Federal agencies that produce the scientific information for risk management, regulatory decision-making, product use, research planning, and public outreach. The core research areas providing this critical information are measurement, human exposure assessment, human health, and the environment in order to inform risk assessment and risk management.

Your comments on this draft of the plan must be received by 11:59 p.m. EST on January 21, 2011. Please reference page and line numbers as appropriate, and keep your responses to 4,000 characters or less. You may also e-mail your responses, no more than one page in length, to [nnistrategy@ostp.gov](mailto:nnistrategy@ostp.gov). Responses to this notice are not offers and cannot be accepted by the Federal government to form a binding contract or issue a grant. Information obtained as a result of this notice may be used by the Federal government for program planning on a non-attribution basis. Any information you provide to us may be posted online. Therefore, do *not* send any information that might be considered proprietary, personal, sensitive, or confidential.

**FOR FURTHER INFORMATION CONTACT:** Any questions about the content of this notice should be sent to [NNIStrategy@ostp.gov](mailto:NNIStrategy@ostp.gov). Questions and responses may also be sent by mail (please allow additional time for processing) to the address: Office of Science and Technology Policy, ATTN: NNI EHS Strategy Comments, Executive Office of the President, 725 17th Street Room 5228, Washington, DC 20502. Phone: (202) 456–7116, Fax: (202) 456–6021.

**Ted Wackler,**

*Deputy Chief of Staff.*

[FR Doc. 2011–555 Filed 1–12–11; 8:45 am]

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## SECURITIES AND EXCHANGE COMMISSION

[Rule 17a–4(b)(11), SEC File No. 270–449, OMB Control No. 3235–0506, Rule 17a–3(a)(16)]

### 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.

**Extension:**

Rule 17a-4(b)(11), SEC File No. 270-449, OMB Control No. 3235-0506, Rule 17a-3(a)(16).

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. Sec. 3501 *et seq.*), the Securities and Exchange Commission ("Commission") has submitted to the Office of Management and Budget ("OMB") a request for extension of the existing collection of information provided for in the following rule: Rule 17a-4(b)(11) (17 CFR Sec. 240.17a-4(b)(11)) under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*).

Rule 17a-4(b)(11) (17 CFR Sec. 240.17a-4(b)(11)) under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*) describes the record preservation requirements for those records required to be kept pursuant to Rule 17a-3(a)(16), including how such records should be kept and for how long, to be used in monitoring compliance with the Commission's financial responsibility program and antifraud and antimanipulative rules as well as other rules and regulations of the Commission and the self-regulatory organizations.

It is estimated that respondents will incur a total burden of 2835 hours per year (105 respondents multiplied by 27 burden hours to comply with Rule 17a-3(a)(16). It is estimated that approximately 105 active broker-dealer respondents registered with the Commission will incur a total burden of 315 hours per year to comply with Rule 17a-4(b)(11), (105 respondents multiplied by 3 burden hours per respondent equals 315 total burden hours).

The Commission estimates that an employee of a broker-dealer charged to ensure compliance with Rule 17a-3(a)(16) receives annual compensation of \$238,000. This compensation is the equivalent of \$119 per hour (\$238,000 divided by 2,000 payroll hours per year). Thus, the average cost estimated for each respondent would be \$3,213: Rule 17a-3(a)(16) Recordkeeping requirements 27 hours at \$119/hr = \$3,213.

The Commission estimates that an employee of a broker-dealer charged to ensure compliance with Rule 17a-4(b)(11) receives annual compensation of \$238,000. This compensation is the equivalent of \$119 per hour (\$238,000 divided by 2,000 pay roll hours per year). Thus, the average cost estimated for each respondent would be \$357.00: Rule 17a-4(b)(11) Record preservation requirements 3 hours at \$119/hr = \$357.

Accordingly, the annual aggregated hour burden for each broker-dealer required to comply with Rules 17a-3(a)(16) and 17a-4(b)(11) would be \$3,570: (\$3213 + \$357 = \$3570).

Under Rule 17a-4(a)(11) broker-dealers are required to retain records for a period of not less than three years. Compliance with the rule is mandatory. The required records are available only to the examination staff of the Commission and the self-regulatory organization of which the broker-dealer is a member.

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. The public may view the information discussed in this notice at <http://www.reginfo.gov>.

Comments should be directed to: (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 by sending an e-mail to: [Shagufta\\_Ahmed@omb.eop.gov](mailto:Shagufta_Ahmed@omb.eop.gov); and (ii) Thomas Bayer, Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 6432 General Green Way, Alexandria, VA 22312 or send an e-mail to: [PRA\\_Mailbox@sec.gov](mailto:PRA_Mailbox@sec.gov). Comments must be submitted to OMB within 30 days of this notice.

Dated: January 10, 2010.

**Elizabeth M. Murphy,**  
*Secretary.*

[FR Doc. 2011-674 Filed 1-12-11; 8:45 am]

**BILLING CODE 8011-01-P**

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-63659; File No. SR-DTC-2010-17]

### Self-Regulatory Organizations; the Depository Trust Company; Notice of Filing and Immediate Effectiveness of Proposed Rule Change Relating to Fee Revisions

January 6, 2011.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act"),<sup>1</sup> notice is hereby given that on December 28, 2010, The Depository Trust Company ("DTC") filed with the Securities and Exchange Commission ("Commission") the proposed rule change as described in Items I and II, which Items have been prepared

primarily by DTC. DTC filed the proposed rule change pursuant to Section 19(b)(3)(A)(ii) of the Act<sup>2</sup> and Rule 19b-4(f)(2)<sup>3</sup> thereunder so that the proposal was effective upon filing with the Commission. 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 purpose of this filing is to revise the fees for certain services provided by DTC.

#### II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, DTC 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 these statements may be examined at the places specified in Item IV below. DTC has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

##### A. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

The purpose of the proposed rule change is to revise the fees for certain services provided by DTC. DTC will increase fees associated with Custody and Asset Servicing, Deposits, Underwriting and Dividend, Book-Entry Delivery, and MMI services in order to realign fees with costs incurred in providing these services and to scale the fees to reflect processing complexity, with the objective of fee simplification and transparency.

DTC will also introduce fees for new capabilities in Asset Services, including a fee to recover costs associated with excluding Treasury Shares of a company from dividend processing.

In addition, DTC will implement or increase certain disincentive fees to discourage behavior that keeps the industry from achieving peak efficiency, including fee increases in Asset Services reject and exception processing relating to Underwriting and Withdrawal activities.

DTC states that the proposed fee revisions are consistent with DTC's overall pricing philosophy of aligning service fees with underlying costs,

<sup>2</sup> 15 U.S.C. 78s(b)(3)(A)(ii).

<sup>3</sup> 17 CFR 240.19b-4(f)(2).

<sup>1</sup> 15 U.S.C. 78s(b)(1).