

with regard to the Committee's collective representation of public, for-profit, non-profit, and academic perspectives.

Committee members will be selected in accordance with the candidate identification process detailed in the Committee's Membership Balance Plan (accessible at <http://fido.gov/facadatabase/>). Members will serve for a term of two years without compensation, but may receive transportation expenses, including per diem in lieu of subsistence, to the extent permissible by law and subject to the availability of resources. Meetings will occur at an estimated frequency of once every three months.

Nominations: The Presidio Trust will consider nominations of all qualified individuals to ensure that the Committee includes the areas of subject matter expertise noted above (see "Structure"). Potential candidates may be asked to provide detailed information as necessary regarding financial interests, employment, and professional affiliations to evaluate possible sources of conflicts of interest.

Each nomination should include: (1) The nominee's name, affiliation, and contact information; (2) a cover letter describing the nominee's qualifications or interest in serving on the Committee; and (3) a copy of the nominee's biography and/or curriculum vitae. The Presidio Trust encourages applications from diverse nominees with respect to backgrounds, professions, ethnicities, gender, and geography. Self-nominations are acceptable.

Dated: November 14, 2011.

Karen A. Cook,
General Counsel.

[FR Doc. 2011-29878 Filed 11-17-11; 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 Closed Meeting on Tuesday, November 15, 2011 at 2:30 p.m.

Commissioners, Counsel to the Commissioners, the Secretary to the Commission, and recording secretaries will attend the Closed Meeting. Certain staff members who have an interest in the matters also may be present.

The General Counsel of the Commission, or his designee, has

certified that, in his opinion, one or more of the exemptions set forth in 5 U.S.C. 552b(c)(3), (5), (7), (9)(B) and (10) and 17 CFR 200.402(a)(3), (5), (7), (9)(ii) and (10) permit consideration of the scheduled matter at the Closed Meeting.

Commissioner Aguilar, as duty officer, voted to consider the item listed for the Closed Meeting in a closed session, and determined that no earlier notice thereof was possible.

The subject matter of the Closed Meeting scheduled for Tuesday, November 15, 2011 will be:

Other matters relating to enforcement proceedings.

At times, changes in Commission priorities require alterations in the scheduling of meeting item.

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: November 15, 2011.

Elizabeth M. Murphy,
Secretary.

[FR Doc. 2011-29969 Filed 11-16-11; 11:15 am]
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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-65663; File No. SR-FINRA-2011-035]

Self-Regulatory Organizations; Financial Industry Regulatory Authority, Inc.; Notice of Filing of Partial Amendment No. 1 and Order Instituting Proceedings To Determine Whether To Approve or Disapprove a Proposed Rule Change, etc.

November 1, 2011.

Correction

In notice document 2011-28716 appearing on pages 68800-68803 in the issue of November 7, 2011, make the following correction:

On page 68802, in the third column, in the second full paragraph, in the eleventh line, "[insert date 45 days from publication in the **Federal Register**]", should read "December 22, 2011".

[FR Doc. C1-2011-28716 Filed 11-17-11; 8:45 am]
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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-65662; File No. SR-CBOE-2011-102]

Self-Regulatory Organizations; Chicago Board Options Exchange, Incorporated; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Adopt a Market-Maker Trade Prevention Order on CBOE Stock Exchange

November 1, 2011.

Correction

In notice document 2011-28694 appearing on pages 68798-68800 in the issue of November 7, 2011, make the following correction:

On page 68798, in the first column, the Release No. and the File No., which were inadvertently omitted from the document heading, are added to read as set forth above.

[FR Doc. C1-2011-28694 Filed 11-17-11; 8:45 am]
BILLING CODE 1505-01-D

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-65722; File No. SR-FINRA-2011-065]

Self-Regulatory Organizations; Financial Industry Regulatory Authority, Inc.; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Update Rule Cross-References Within Certain FINRA Rules

November 10, 2011.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act")¹ and Rule 19b-4 thereunder,² notice is hereby given that on November 2, 2011, Financial Industry Regulatory Authority, Inc. ("FINRA") filed with the Securities and Exchange Commission ("Commission") the proposed rule change as described in Items I, II, and III below, which Items have been prepared by FINRA. FINRA has designated the proposed rule change as constituting a non-controversial rule change under Rule 19b-4(f)(6) under the Act,³ which renders the proposal effective upon filing with the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ 17 CFR 240.19b-4(f)(6).

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

FINRA is proposing to update cross-references within certain FINRA rules to reflect changes adopted in the consolidated FINRA rulebook.

The text of the proposed rule change is available on FINRA's Web site at <http://www.finra.org>, at the principal office of FINRA 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, FINRA 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. FINRA 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

1. Purpose

FINRA is in the process of developing a new consolidated rulebook ("Consolidated FINRA Rulebook").⁴ That process involves FINRA submitting to the Commission for approval a series of proposed rule changes over time to adopt rules in the Consolidated FINRA Rulebook. The phased adoption and implementation of those rules necessitates periodic amendments to update rule cross-references and other non-substantive technical changes in the Consolidated FINRA Rulebook.

The proposed rule change would update rule cross-references to reflect changes adopted in the Consolidated FINRA Rulebook. In this regard, the proposed rule change would update references in FINRA Rules 0150 (Application of Rules to Exempted Securities Except Municipal

⁴ The current FINRA rulebook consists of (1) FINRA Rules; (2) NASD Rules; and (3) rules incorporated from NYSE ("Incorporated NYSE Rules") (together, the NASD Rules and Incorporated NYSE Rules are referred to as the "Transitional Rulebook"). While the NASD Rules generally apply to all FINRA members, the Incorporated NYSE Rules apply only to those members of FINRA that are also members of the NYSE ("Dual Members"). The FINRA Rules apply to all FINRA members, unless such rules have a more limited application by their terms. For more information about the rulebook consolidation process, see *Information Notice*, March 12, 2008 (Rulebook Consolidation Process).

Securities),⁵ 2114 (Recommendations to Customers in OTC Equity Securities), 2124 (Net Transactions with Customers), 2130 (Approval Procedures for Day-Trading Accounts), 2264 (Margin Disclosure Statement), 2270 (Day-Trading Risk Disclosure Statement), 2330 (Members' Responsibilities Regarding Deferred Variable Annuities), 2360 (Options), 2370 (Security Futures), 5122 (Private Placements of Securities Issued by Members), 5320 (Prohibition Against Trading Ahead of Customer Orders), 6630 (Applicability of FINRA Rules to Securities Previously Designated as PORTAL Securities),⁶ 7230A (Trade Report Input), 7330 (Trade Report Input), 9217 (Violations Appropriate for Disposition Under Plan Pursuant to SEA Rule 19d-1(c)(2)), 9559 (Hearing Procedures for Expedited Proceedings Under the Rule 9550 Series), and 9610 (Application) that are needed as the result of Commission approval of three recent FINRA proposed rule changes.⁷ Also, the proposed rule change will delete the general recordkeeping provisions of NYSE Rule 440 (Books and Records).⁸ In addition, the proposed rule change would update reference to former MSRB Rule G-36 (Delivery of Official Statements, Advance Refunding Documents and Forms G-36(OS) and G-36(ARD) to Board or its Designee) in FINRA Rule 9217 to reflect changes made in a MSRB Rule filing.⁹

⁵ The proposed rule change would update FINRA Rule 0150 to reflect (1) the adoption of Rules 2268, 4510 Series, and 5340 and the deletion of NASD Rule 3110 and NASD IM-3110, effective December 5, 2011, and (2) the deletion of NASD Rule 3020 to add Rule 4360, effective January 1, 2012. See *Regulatory Notice* 11-19 (April 2011) (regarding File No. SR-FINRA-2010-052) and *Regulatory Notice* 11-21 (May 2011) (regarding File No. SR-FINRA-2010-059).

⁶ The proposed rule change would update FINRA Rule 6630 to reflect (1) the adoption of Rules 4510 Series and the deletion of NASD Rule 3110, effective December 5, 2011, and (2) the deletion of NASD Rule 3020 to add Rule 4360, effective January 1, 2012. See *Regulatory Notice* 11-19 (April 2011) (regarding File No. SR-FINRA-2010-052) and *Regulatory Notice* 11-21 (May 2011) (regarding File No. SR-FINRA-2010-059).

⁷ See Securities Exchange Act Release No. 63784 (January 27, 2011), 76 FR 5850 (February 2, 2011) (Order Approving File No. SR-FINRA-2010-052); Securities Exchange Act Release No. 63961 (February 24, 2011), 76 FR 11542 (March 2, 2011) (Order Approving File No. SR-FINRA-2010-059); and Securities Exchange Act Release No. 65281 (September 7, 2011), 76 FR 56848 (September 14, 2011) (Order Approving File No. SR-FINRA-2011-031).

⁸ See Securities Exchange Act Release No. 63784 (January 27, 2011), 76 FR 5850 (February 2, 2011) (Order Approving File No. SR-FINRA-2010-052). See also Securities Exchange Act Release No. 63999 (March 1, 2011), 76 FR 12380 (March 7, 2011) (Order Approving File No. SR-FINRA-2010-061).

⁹ See Securities Exchange Act Release No. 59966 (May 21, 2009), 74 FR 25790 (May 29, 2009) (Order Approving File No. SR-MSRB-2009-02).

As noted in Item 2 of this filing, FINRA has filed the proposed rule change for immediate effectiveness. The implementation date for the proposed change to FINRA Rule 9559 will be December 2, 2011.¹⁰ The implementation date for certain proposed rule changes to FINRA Rules 0150 and 6630, and proposed rule changes to FINRA Rules 2114, 2124, 2130, 2264, 2270, 2330, 2360, 2370, 5122, 5320, 7230A, 7330 and 9217 will be December 5, 2011. The implementation date for the proposed rule changes to update certain references in FINRA Rules 0150, 6630(c)(2) and 9610(a) that would delete the reference to NASD Rule 3020 and add the reference to FINRA Rule 4360 will be January 1, 2012.

2. Statutory Basis

FINRA believes that the proposed rule change is consistent with the provisions of Section 15A(b)(6) of the Act,¹¹ which requires, among other things, that FINRA rules must be designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, and, in general, to protect investors and the public interest. FINRA believes the proposed rule change will provide greater clarity to members and the public regarding FINRA's rules.

B. Self-Regulatory Organization's Statement on Burden on Competition

FINRA does not believe that the proposed rule change will result in any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received From Members, Participants, or Others

Written comments were neither solicited nor received.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

Because the foregoing proposed rule change does not significantly affect the protection of investors or the public interest, does not impose any significant burden on competition, and, by its terms, does not become operative for 30 days from the date on which it was filed, or such shorter time as the Commission may designate, it has become effective pursuant to Section

¹⁰ See *Regulatory Notice* 11-50 (November 2011) (regarding File No. SR-FINRA-2011-031).

¹¹ 15 U.S.C. 78o-3(b)(6).

19(b)(3)(A) of the Act¹² and Rule 19b-4(f)(6) thereunder.¹³

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. 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 SR-FINRA-2011-065 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 SR-FINRA-2011-065. 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 Web site (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the 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 Web site 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 a.m. and 3 p.m. Copies of such filing also will be available for inspection and copying at the principal office of FINRA. All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make publicly available. All submissions should refer to File Number SR-FINRA-2011-065 and should be submitted on or before December 9, 2011.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁴

Elizabeth M. Murphy,
Secretary.

[FR Doc. 2011-29786 Filed 11-17-11; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-65732; File No. SR-CBOE-2011-106]

Self-Regulatory Organizations; Chicago Board Options Exchange, Incorporated; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Provide a Limited Extension to the Compliance Deadline for Registration and Qualification Pursuant to Rule 3.6A

November 10, 2011.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934,¹ notice is hereby given that on November 4, 2011, the Chicago Board Options Exchange, Incorporated ("CBOE" or the "Exchange") filed with the Securities and Exchange Commission the proposed rule change as described in Items I, II and III below, which Items have been prepared by CBOE. The Exchange has designated the proposed rule change as constituting a stated policy, practice, or interpretation with respect to the meaning, administration, or enforcement of an existing rule pursuant to Section 19(b)(3)(A)(i) of the Act² and Rule 19b-4(f)(1) thereunder,³ which renders the proposal effective upon filing with the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

¹⁴ 17 CFR 200.30-3(a)(12).

¹ 15 U.S.C. 78s(b)(1).

² 15 U.S.C. 78s(b)(3)(A)(i).

³ 17 CFR 240.19b-4(f)(1).

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

Pursuant to the provisions of Section 19(b)(1) of the Securities Exchange Act of 1934 (the "Act"),⁴ the Exchange proposes to provide a limited extension to the November 5, 2011 deadline to comply with its rules regarding registration and qualification of individual Trading Permit Holders and individual associated persons for those individual Trading Permit Holders and/or individual associated persons that have failed the required qualification examination(s) associated with their required categories of registration. CBOE is not proposing any textual changes to the Rules of CBOE. The text of the proposed rule change is available on the Exchange's Web site (<http://www.cboe.org/legal>), at the Exchange's Office of the Secretary and at the Commission.

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

In its filing with the Commission, CBOE 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. CBOE 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

(1) Purpose

Pursuant to Rule 15b7-1,⁵ promulgated under the Exchange Act,⁶ "No registered broker or dealer shall effect any transaction in * * * any security unless any natural person associated with such broker or dealer who effects or is involved in effecting such transaction is registered or approved in accordance with the standards of training, experience, competence, and other qualification standards * * * established by the rules of any national securities exchange * * *" CBOE Rule 3.6A sets forth requirements for registration and qualification of individual Trading Permit Holders and individual associated persons. In response to a

⁴ 15 U.S.C. 78s(b)(1).

⁵ 17 CFR 240.15b7-1.

⁶ 15 U.S.C. 78a et seq.

¹² 15 U.S.C. 78s(b)(3)(A).

¹³ 17 CFR 240.19b-4(f)(6).