

c. The line for "Security ID System" is now consistent across Forms SHCA and SHLA. The new categories are: 1 = CUSIP, 2 = ISIN, 3 = CINS, 4 = Common Code, 5 = SEDOL, 6 = Internally Generated, and 7 = Other.

d. The lines applying to debt securities (including asset-backed securities) are reorganized, though the substance of the information to be reported remains unchanged.

e. The "Term Indicator" line is eliminated.

f. The "Intentionally Left Blank" lines are eliminated.

g. "Market values" is replaced by "Fair values".

#### Form SHCA Changes (only)

a. A new item requires reporters to specify whether they are reporting the security as "End-investors" or "Custodians".

b. "Security Type" is now consistent with Forms SHLA. "Unstripped bond or note and all other asset-backed debt" is replaced by security types "Bond or note, unstripped", "Bond or note, stripped", and "All other debt".

c. "Ownership Code" is replaced with "Type of U.S. Owner". A new, more precise system of categories replaces the old categories. The new categories are: 1 = Depository Institution; 2 = Fund or Other Investment Vehicle (excluding pension and mutual funds); 3 = Pension Fund; 4 = Mutual Fund, 5 = Insurance Company; 6 = Other Financial Organization (including BHC and FHC); 7 = Nonfinancial Organization excluding Individual/Household; 7 = Individual or Household.

d. "Type of Foreign Issuer" is added to identify if the security is issued by "Foreign Official Institutions" or "All Other Foreigners".

#### Form SHLA Changes (only)

a. Within "Type of Issuer", "Other" is eliminated and "Depository Institution," "Other Financial Organization (including BHC and FHC)," and "Nonfinancial Organization" are added.

b. "Issuer Code" is replaced with "Reporting as".

The following changes apply to Schedule 3 of Form SHCA: Custodians Used:

a. Minor changes in wording throughout to remove instruction comments.

*Type of Review:* Revision of two currently approved data collections.

*Affected Public:* Business/Financial Institutions.

*Forms:* TIC SHL/SHLA, Schedules 1 and 2 (1505-0123).

TIC SHC/SHCA, Schedules 1, 2 and 3 (1505-0146).

*Estimated Number of Respondents:* For Form SHLA, an annual average

(over five years) of 191, but this varies widely from about 540 in benchmark years (once every five years) to about 104 in other years (four out of every five years). For Form SHCA, an annual average (over five years) of 341, but this varies widely from about 955 in benchmark years (once every five years) to about 190 in other years (four out of every five years).

*Estimated Average Time per Respondent:* For Form SHLA, an annual average (over five years) of about 168 hours, but this will vary widely from respondent to respondent. (a) In the year of a benchmark survey, which is conducted once every five years, it is estimated that exempt respondents will require an average of 17 hours; for custodians of securities, the estimate is a total of 321 hours on average, but this figure will vary widely for individual custodians; and for issuers of securities that have data to report and are not custodians, the estimate is 61 hours on average. (b) In a non-benchmark year, which occurs four years out of every five years: For the largest custodians of securities, the estimate is a total of 486 hours on average; and for the largest issuers of securities that have data to report and are not custodians, the estimate is 110 hours on average.

For Form SHCA, an annual average (over five years) of about 169 hours, but this will vary widely from respondent to respondent. (a) In the year of a benchmark survey, which is conducted once every five years, it is estimated that exempt respondents will require an average of 17 hours; custodians of securities providing security-by-security information will require an average of 361 hours, but this figure will vary widely for individual custodians; end-investors providing security-by-security information will require an average of 121 hours; and end-investors and custodians employing U.S. custodians will require an average of 41 hours. (b) In a non-benchmark year, which occurs four years out of every five years: Custodians of securities providing security-by-security information will require an average of 546 hours (because only the largest U.S.-resident custodians will report), but this figure will vary widely for individual custodians; end-investors providing security-by-security information will require an average of 146 hours; and reporters entrusting their foreign securities to U.S. custodians will require an average of 49 hours. The exemption level, which applies only in benchmark years, for custodians is the holding of less than \$100 million in foreign securities and for end-investors the owning of less than \$100 million in

foreign securities with a single custodian.

*Estimated Total Annual Burden Hours:* For Form SHLA, an annual average (over five years) of 32,060 hours. For Form SHCA, an annual average (over five years) of 57,630 hours.

*Frequency of Response:* Annual.

*Request for Comments:* Comments submitted in response to this notice will be summarized and/or included in the request for Office of Management and Budget approval. All comments will become a matter of public record. The public is invited to submit written comments concerning: (a) Whether the Survey is necessary for the proper performance of the functions of the Office of International Affairs within the Department of the Treasury, including whether the information collected will have practical uses; (b) the accuracy of the above estimate of the burdens; (c) ways to enhance the quality, usefulness and clarity of the information to be collected; (d) ways to minimize the reporting and/or record keeping burdens on respondents, including the use of information technologies to automate the collection of the data requested; and (e) estimates of capital or start-up costs of operation, maintenance and purchase of services to provide the information requested.

**Dwight Wolkow,**

*Administrator, International Portfolio Investment Data Systems.*

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**BILLING CODE 4810-25-P**

## DEPARTMENT OF THE TREASURY

### Community Development Financial Institutions Fund

#### Proposed Collection: Comment Request

**ACTION:** Notice and request for comments.

**SUMMARY:** The Department of the Treasury, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995, Public Law 104-13 (44 U.S.C. 3506(c)(2)(A)). Currently, the Community Development Financial Institutions (CDFI) Fund, Department of the Treasury, is soliciting comments concerning the Certification of Material Events Form.

**DATES:** Written comments should be received on or before May 28, 2013 to be assured of consideration.

**ADDRESSES:** Direct all written comments to Bob Mulderig, Certification, Compliance Monitoring and Evaluation Program Manager, Community Development Financial Institutions Fund, U.S. Department of the Treasury, 1500 Pennsylvania Avenue NW., Washington, DC 20220. Written comments may also be sent by email to [CCME@cdfi.treas.gov](mailto:CCME@cdfi.treas.gov). Please include the Subject line "Comments on the Certification of Material Events Form."

**FOR FURTHER INFORMATION CONTACT:** Requests for additional information or copies of the form(s) and instructions should be directed to Bob Mulderig, Certification, Compliance Monitoring and Evaluation, Community Development Financial Institutions Fund, U.S. Department of the Treasury, 1500 Pennsylvania Avenue NW., Washington, DC 20220, by email to [cdfihelp@cdfi.treas.gov](mailto:cdfihelp@cdfi.treas.gov), or by phone to (202) 653-0423 (this is not a toll-free number).

**SUPPLEMENTARY INFORMATION:**

*OMB Number:* 1559-0037.

*Title:* Certification of Material Events Form.

*Form:* CDFI 0036.

*Abstract:* This specific information collection will capture information related to Community Development Entity (CDE)/New Markets Tax Credit material events, as well as Community Development Financial Institutions (CDFI) material events, in a single form. The revised document will provide a more comprehensive list of potential material events to inform CDEs and CDFIs of the events that need to be reported to the CDFI Fund and will require the CDE or CDFI to affirmatively indicate, through a series of specific questions, whether or not the event will have an impact on areas of operations that are of particular concern to the CDFI Fund. This information will enable the CDFI Fund to better manage the Material Events review process and monitor the effects of Material Events on certification or compliance status.

*Current Actions:* Extension.

*Type of Review:* Regular review.

*Affected Public:* CDFIs and CDEs; including business or other for-profit institutions, non-profit entities, and State, local and Tribal entities.

*Estimated Number of Respondents:* 200.

*Estimated Annual Time per Respondent:* .25 Hours.

*Estimated Total Annual Burden Hours:* 50 Hours.

*Request for Comments:* Comments submitted in response to this notice will

be summarized and/or included in the request for OMB approval. All comments will become a matter of public record. Comments are invited on: (a) Whether the collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden of the collection of information; (c) ways to enhance the quality, utility and clarity of the information to be collected; (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology; and (e) estimates of capital or start-up costs and costs of operation, maintenance, and purchase of services to provide information.

**Authority:** 12 U.S.C. 4701 *et seq.*; 26 U.S.C. § 45D.

Dated: March 25, 2013.

**Dawn D. Wolfgang,**

*Treasury PRA Clearance Officer.*

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**DEPARTMENT OF THE TREASURY**

**Office of Foreign Assets Control**

**Identification of One Individual, Fourteen Entities, and Eight Vessels Pursuant to the Iranian Transactions and Sanctions Regulations and Executive Order 13599**

**AGENCY:** Office of Foreign Assets Control, Treasury.

**ACTION:** Notice.

**SUMMARY:** The Treasury Department's Office of Foreign Assets Control ("OFAC") is publishing the names of one individual and fourteen entities identified as the Government of Iran, and eight vessels identified as the property of the Government of Iran under the Iranian Transactions and Sanctions Regulations, 31 CFR part 560 ("ITSR"), and Executive Order 13599.

**DATES:** The identification by the Director of OFAC of the individual, entities, and vessels identified in this notice, pursuant to the ITSR and Executive Order 13599 is effective on March 14, 2013.

**FOR FURTHER INFORMATION CONTACT:** Assistant Director, Sanctions Compliance and Evaluation, Office of Foreign Assets Control, Department of the Treasury, Washington, DC 20220, Tel.: 202/622-2490.

**SUPPLEMENTARY INFORMATION:**

**Electronic and Facsimile Availability**

This document and additional information concerning OFAC are available from OFAC's Web site ([www.treas.gov/ofac](http://www.treas.gov/ofac)) or via facsimile through a 24-hour fax-on-demand service, Tel.: 202/622-0077.

**Background**

On February 5, 2012, the President issued Executive Order 13599, "Blocking Property of the Government of Iran and Iranian Financial Institutions" (the "Order"). Section 1(a) of the Order blocks, with certain exceptions, all property and interests in property of the Government of Iran, including the Central Bank of Iran, that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of any United States person, including any foreign branch.

Section 7 (d) of the Order defines the term "Government of Iran" to mean the Government of Iran, any political subdivision, agency, or instrumentality thereof, including the Central Bank of Iran, and any person owned or controlled by, or acting for or on behalf of, the Government of Iran.

Section 560.211 of the ITSR implements Section 1(a) of the Order. Section 560.304 defines the term "Government of Iran" to include: "(a) The state and the Government of Iran, as well as any political subdivision, agency, or instrumentality thereof, including the Central Bank of Iran; (b) Any person owned or controlled, directly or indirectly, by the foregoing; and (c) Any person to the extent that such person is, or has been, since the effective date, acting or purporting to act, directly or indirectly, for or on behalf of any of the foregoing; and (d) Any other person determined by the Office of Foreign Assets Control to be included within [(a) through (c)]." Section 560.313 of the ITSR further defines an "entity owned or controlled by the Government of Iran" to include "any corporation, partnership, association, or other entity in which the Government of Iran owns a 50 percent or greater interest or a controlling interest, and any entity which is otherwise controlled by that government."

On March 14, 2013, the Director of OFAC identified one individual and fourteen entities as meeting the definition of the Government of Iran, and identified eight vessels as the property of the Government of Iran pursuant to the Order and the ITSR. The listing for the individual, entities, and vessels is as follows: