§ 71.1 [Amended]

2. The incorporation by reference in 14 CFR 71.1 of Federal Aviation Administration Order 7400.9W, Airspace Designations and Reporting Points, dated August 8, 2012, effective September 15, 2012, is amended as follows:

Paragraph 5000 Class D airspace.

AEA PA D Reading, PA [Amended]

Reading Regional/Carl A. Spaatz Field, Reading, PA

(Lat. 40°22′42″ N., long. 75°57′55″ W.)

That airspace extending upward from 700 feet above the surface within a 10.3-mile radius of Reading Regional/Carl A. Spaatz Field.

Issued in College Park, Georgia, on April 1, 2013.

Barry A. Knight, Manager, Operations Support Group, Eastern Service Center, Air Traffic Organization.

SUMMARY: This document corrects a compliance date stated in the preamble to a notice of final rulemaking published in the Federal Register of December 21, 2012 (77 FR 75523), regarding Adaptation of Regulations to Incorporate Swaps—Records of Transactions.

DATES: This correction is effective April 9, 2013.

FOR FURTHER INFORMATION CONTACT: Katherine Driscoll, Associate Director, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581; 202–418–5544; kdriscoll@cftc.gov.

SUPPLEMENTARY INFORMATION: The Commodity Futures Trading Commission is correcting the preamble of final rules that appeared in the Federal Register on December 21, 2012 (77 FR 75523). The final rulemaking made certain conforming amendments to recordkeeping provisions of regulations 1.31 and 1.35(a) to integrate the recordkeeping requirements of 17 CFR part 23 to replace the cross-references to the Commission regulation at 17 CFR 39.6. After the effective date of the Part 23 rules (November 13, 2012), the CFTC published final rules in the Federal Register of December 13, 2012 (77 FR 74284) that re-codified the Commission regulation at 17 CFR 39.6 as a new Commission regulation at 17 CFR 39.50. This correction amends cross-references in 17 CFR 23.505 to conform them with the final rules published on December 13, 2012.

DATES: Effective on April 9, 2013.

FOR FURTHER INFORMATION CONTACT: Frank Fisanich, Chief Counsel, 202–418–5094, ffisanich@cftc.gov, or Jason A. Shafer, Attorney-Advisor, 202–418–5097, jshafer@cftc.gov, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.

SUPPLEMENTARY INFORMATION: In the Federal Register of September 11, 2012 (77 FR 55904), the final rules setting forth requirements for swap confirmation, portfolio reconciliation, portfolio compression, and swap trading relationship documentation for Swap Dealers and Major Swap Participants. Those rules, in 17 CFR part 23, include cross-references to the Commission regulation at 17 CFR 39.6. After the effective date of the Part 23 rules (November 13, 2012), the CFTC published final rules in the Federal Register of December 13, 2012 (77 FR 74284) that re-codified the Commission regulation at 17 CFR 39.6 as a new Commission regulation at 17 CFR 50.50. Those rules took effect on February 11, 2013. Thus, the Commission is making correcting amendments to the affected section of 17 CFR part 23 to replace the cross-references to 17 CFR 39.6 with cross-references to 17 CFR 50.50.
SECURITIES AND EXCHANGE COMMISSION

17 CFR Parts 240 and 249


RIN 3235–AL18

Amendment to Rule Filing Requirements for Dually-Registered Clearing Agencies

AGENCY: Securities and Exchange Commission.

ACTION: Final rule.

SUMMARY: The Securities and Exchange Commission (“SEC” or “Commission”) is affirming recent amendments to Rule 19b–4 under the Securities Exchange Act of 1934 (“Exchange Act”) in connection with filings of proposed rule changes by certain registered clearing agencies and is expanding on those amendments in response to comments received (collectively, “Final Rule”). The Commission also is making corresponding technical modifications to the General Instructions for Form 19b–4 under the Exchange Act. The amendments to Rule 19b–4 and the instructions to Form 19b–4 are intended to streamline the rule filing process in areas involving certain activities concerning non-security products that may be subject to duplicative or inconsistent regulation as a result of, in part, certain provisions under Section 763(b) of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (“Dodd-Frank Act”).

DATES: Effective June 10, 2013.

FOR FURTHER INFORMATION CONTACT: Joseph P. Kaminik, Assistant Director; Gena Lai, Senior Special Counsel; and Neil Lombardo, Attorney, Office of Clearance and Settlement, Division of Trading and Markets, Securities and Exchange Commission, 100 F Street NE., Washington, DC 20549–7010 at (202) 551–5710.

SUPPLEMENTAL INFORMATION: The Commission is adopting a Final Rule that affirms and expands upon recent amendments to Rule 19b–4 under the Exchange Act concerning categories of proposed rule changes that qualify for effectiveness upon filing under Section 19(b)(3)(A) of the Exchange Act. The Commission also is making a corresponding technical modification to the General Instructions for Form 19b–4 under the Exchange Act.

1. Introduction

A. Background on the Commission’s Process for Proposed Rule Changes

Section 19(b)(1) of the Exchange Act requires each self-regulatory organization (“SRO”), including any Registered Clearing Agency, to file with the Commission copies of any proposed rule or any proposed change in, addition to, or deletion from the rules of such SRO (collectively, “proposed rule change”), which must be submitted on Form 19b–4 in accordance with the General Instructions thereto. Once a proposed rule change has been filed, the Commission is required to publish it in the Federal Register to provide an opportunity for public comment. A proposed rule change generally may not take effect unless the Commission approves it, or it otherwise becomes effective under Section 19(b).

Section 19(b)(2) of the Exchange Act sets forth the standards and time periods for Commission action either to approve, disapprove, or institute proceedings to determine whether the proposed rule change should be disapproved. The Commission must approve a proposed rule change if it...