

#### 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](mailto:rule-comments@sec.gov). Please include File Number SR-FINRA-2013-032 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-2013-032. 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 10:00 a.m. and 3:00 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 available publicly. All submissions should refer to File Number SR-FINRA-2013-032 and should be submitted on or before September 24, 2013.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>26</sup>

**Kevin M. O'Neill,**

*Deputy Secretary.*

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**BILLING CODE 8011-01-P**

#### SMALL BUSINESS ADMINISTRATION

##### Data Collection Available for Public Comments

**ACTION:** 60-day notice and request for comments.

**SUMMARY:** The Small Business Administration (SBA) intends to request approval, from the Office of Management and Budget (OMB) for the collection of information described below. The Paperwork Reduction Act (PRA) of 1995, 44 U.S.C Chapter 35 requires federal agencies to publish a notice in the **Federal Register** concerning each proposed collection of information before submission to OMB, and to allow 60 days for public comment in response to the notice. This notice complies with that requirement.

**DATES:** Submit comments on or before November 4, 2013.

**ADDRESSES:** Send all comments to Patrick Kelley, Deputy Associate Administrator, Office of Capital Access, Small Business Administration, 409 3rd Street, 8th Floor, Washington, DC 20416.

**FOR FURTHER INFORMATION CONTACT:** Patrick Kelley, Deputy Associate Administrator, 202-205-0067, [patrick.kelley@sba.gov](mailto:patrick.kelley@sba.gov), or Curtis B. Rich, Management Analyst, 202-205-7030, [curtis.rich@sba.gov](mailto:curtis.rich@sba.gov).

**SUPPLEMENTARY INFORMATION:** Section 7(a) of the Small Business Act (15 U.S.C. 636(a)) authorizes SBA to guarantee loans made by banks or other financial institutions to qualified small businesses for the purposes of plant acquisition, construction, conversion, or expansion, and/or for the acquisition of land, materials, supplies, equipment, or working capital. SBA is proposing to make several changes to the information collections related to the application process for all loan processing methods for the Agency's 7(a) loan program. The information collected from the small business applicants and participating lenders is used to determine eligibility and to properly evaluate and consider the merits of each loan request based on such criteria as character, capacity, credit, collateral, etc. for the purpose of

extending credit under the 7(a) loan program.

SBA proposes to discontinue use of: (a) SBA Form 4 and Form 4-I (OMB Control Number 3245-0016); and (b) SBA Form 2301(A, B, C & D) and Form 7 (OMB Control Number 3245-0361). The Form 4 series is the currently approved loan application for standard 7(a) program, and the Form 2301 series is the currently approved application for SBA's Lender Advantage programs (Small/Rural Lender Advantage and Community Advantage Pilot Loan Program). In lieu of these two information collections, SBA proposes to use Form 1919, Form 1920SX (B & C) and Form 2237 (OMB Control Number 3245-0348) to collect the application related information currently collected by the proposed discontinued forms. As a result, SBA proposes changes to the Form 1919 series (OMB Control Number 3245-0348) to ensure that all of the information necessary to process applications for the affected loan programs is captured in the consolidated forms.

SBA would also make various substantive changes to this proposed consolidated information collection to conform the forms to pending changes in the 7(a) loan program. Specifically, changes are pending that will clarify the credit analysis and collateral requirements for the 7(a) program, and require all application forms be submitted to SBA electronically. Finally, the Dealer Floor Plan Pilot Loan Program will be removed from the forms as the pilot will expire September 30, 2013.

##### (a) Solicitation of Public Comments

SBA is requesting comments on (a) Whether the collection of information is necessary for the agency to properly perform its functions; (b) whether the burden estimates are accurate; (c) whether there are ways to minimize the burden, including through the use of automated techniques or other forms of information technology; and (d) whether there are ways to enhance the quality, utility, and clarity of the information.

##### (b) Summary of Information Collection

*Title:* SBA Express, Export Express, Small Loan Advantage, PLP-Caplines, and Pilot Loan Programs (Patriot Express and Dealer Floor Plan).

*Description of Respondents:* Small businesses applying for an SBA 7(a) loan and lenders participating in that program.

*Form Numbers:* (i) *Form 1919:* SBA Express, Export Express, Small Loan Advantage, PLP-CAPLines, and Pilot Loan Programs (Patriot Express and

<sup>26</sup> 17 CFR 200.30-3(a)(12).

Dealer Floor Plan) Borrower Information Form. This form collects identifying information regarding the applicant, loan request, indebtedness, information about the principals, information about current or previous government financing, and certain other disclosures.

(ii) *Form 1920SX (Part A)*: SBA Express, Export Express, Small Loan Advantage, PLP-CAPLines and Pilot Loan Programs (Patriot Express and Dealer Floor Plan) Guaranty Request. This form will no longer be used as it is a fax coversheet and all applications will be submitted to SBA electronically.

(iii) *Form 1920SX (Part B)*: Supplemental Information for SBA Express, Export Express, Small Loan Advantage, Pilot Loan Programs and PLP Processing. This form is completed by the 7(a) Lender. This form includes, among other things, identifying information regarding the lender, loan terms, and use of proceeds.

(iv) *Form 1920SX (Part C)*: Eligibility Information Required for SBA Express, Export Express, Small Loan Advantage, PLP-CAPLines and Pilot Loan Programs (Patriot Express and Dealer Floor Plan). This form is completed by the 7(a) Lender. It consolidates eligibility criteria regarding the loan applicants, including use of proceeds and general rules applicable to SBA Express, Export Express, Small Loan Advantage, PLP-CAPLines, Patriot Express and Dealer Floor Plan.

(v) *Form 2237*: 7(a) Loan Post Approval Action Checklist. This form is completed by the Lender and submitted to SBA for post-approval changes to the loan.

(vi) *Form 2238*: Supplemental Information for SBA Express/Patriot Express Guaranty Request (Eligibility Authorized). This form is completed by the Lender that has been designated as

“eligibility authorized.” This form will no longer be used.

*Total Estimated Annual Responses*: 165,930.

*Total Estimated Annual Hour Burden*: 275,055.

Dated: August 26, 2013.

**Yvonne K. Wilson**,  
Chief, Administrative Information Branch.  
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**SOCIAL SECURITY ADMINISTRATION**

**Agency Information Collection Activities: Proposed Request and Comment Request**

The Social Security Administration (SSA) publishes a list of information collection packages requiring clearance by the Office of Management and Budget (OMB) in compliance with Public Law 104-13, the Paperwork Reduction Act of 1995, effective October 1, 1995. This notice includes one extension and revisions of OMB-approved information collections.

SSA is soliciting comments on the accuracy of the agency’s burden estimate; the need for the information; its practical utility; ways to enhance its quality, utility, and clarity; and ways to minimize burden on respondents, including the use of automated collection techniques or other forms of information technology. Mail, email, or fax your comments and recommendations on the information collection(s) to the OMB Desk Officer and SSA Reports Clearance Officer at the following addresses or fax numbers.

(OMB) Office of Management and Budget, Attn: Desk Officer for SSA, Fax: 202-395-6974, Email address: *OIRA\_Submission@omb.eop.gov*.

(SSA) Social Security Administration, DCRDP, Attn: Reports Clearance Director, 107 Altmeyer Building, 6401 Security Blvd., Baltimore, MD 21235, Fax: 410-966-2830, Email address: *OR.Reports.Clearance@ssa.gov*.

I. The information collections below are pending at SSA. SSA will submit them to OMB within 60 days from the date of this notice. To be sure we consider your comments, we must receive them no later than November 4, 2013. Individuals can obtain copies of the collection instruments by writing to the above email address.

1. Continuing Disability Review Report—20 CFR 404.1589, 416.989—0960-0072. Sections 221(i), 1614(a)(3)(H)(ii)(I), and 1633(c)(1) of the Social Security Act (Act) require SSA to periodically review the cases of individuals who receive disability benefits under title II or title XVI to determine if the individuals’ disabilities continue. SSA uses Form SSA-454, Continuing Disability Review Report, to complete the review for continuing disability. SSA considers adults eligible for payment if they continue to be unable to do substantial gainful activity because of their impairments, and we consider title XVI children eligible for payment if they have marked and severe functional limitations because of their impairments. SSA also uses Form SSA-454 to obtain information on sources of medical treatment; participation in vocational rehabilitation programs (if any); attempts to work (if any); and if individuals believe their conditions have improved. The respondents are title II or title XVI disability recipients or their representatives.

*Type of Request*: Revision of an OMB-approved information collection.

Modality of completion	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated total annual burden (hours)
SSA-454-BK (Paper version) .....	270,500	1	60	270,500
Electronic Disability Collect System .....	270,500	1	60	270,500
Totals .....	541,000	.....	541,000	498,892

2. Appointment of Representative—20 CFR 404.1707, 404.1720, 404.1725, 410.684 and 416.1507—0960-0527. Persons claiming rights or benefits under the Act must notify SSA in writing when they appoint an individual to represent them in their dealings with SSA. SSA collects the information on Form SSA-1696-U4 to

verify the appointment of such representatives. The SSA-1696-U4 allows SSA to inform representatives of items that affect the recipient’s claim, and allows claimants to give permission to their appointed representatives to designate a person to receive their claims files. Respondents are applicants for or recipients of Social Security

benefits or Supplemental Security Income payments who are notifying SSA they have appointed a person to represent them in their dealings with SSA.

*Type of Request*: Revision of an OMB-approved information collection.