

## NUCLEAR REGULATORY COMMISSION

[NRC-2013-0001]

### Sunshine Act Meeting Notice

**AGENCY HOLDING THE MEETINGS:** Nuclear Regulatory Commission.

**DATE:** Weeks of September 9, 16, 23, 30, October 7, 14, 2013.

**PLACE:** Commissioners' Conference Room, 11555 Rockville Pike, Rockville, Maryland.

**STATUS:** Public and Closed.

#### Week of September 9, 2013

There are no meetings scheduled for the week of September 9, 2013.

#### Week of September 16, 2013—Tentative

There are no meetings scheduled for the week of September 16, 2013.

#### Week of September 23, 2013—Tentative

There are no meetings scheduled for the week of September 23, 2013.

#### Week of September 30, 2013—Tentative

There are no meetings scheduled for the week of September 30, 2013.

#### Week of October 7, 2013—Tentative

There are no meetings scheduled for the week of October 7, 2013.

#### Week of October 14, 2013—Tentative

*Wednesday, October 16, 2013*

1:00 p.m. Briefing on Flooding and Other Extreme Weather Events (Public Meeting) (Contact: George Wilson, 301-415-1711)

This meeting will be webcast live at the Web address—<http://www.nrc.gov>.

*Friday, October 18, 2013*

9:00 a.m. Meeting with the Advisory Committee on the Medical Uses of Isotopes (Public Meeting); (Contact: Sophie Holiday, 301-415-7865)

This meeting will be webcast live at the Web address—<http://www.nrc.gov>.

1:00 p.m. Briefing on the Proposed Rule for Title 10 of the Code of Federal Regulations Part 35 (Public Meeting); (Contact: Ashley Cockerham, 240-888-7129)

This meeting will be webcast live at the Web address—<http://www.nrc.gov>.

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\*The schedule for Commission meetings is subject to change on short notice. To verify the status of meetings, call (recording)—301-415-1292. Contact person for more information: Rochelle Baval, 301-415-1651.

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The NRC Commission Meeting Schedule can be found on the Internet

at: <http://www.nrc.gov/public-involve/public-meetings/schedule.html>.

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The NRC provides reasonable accommodation to individuals with disabilities where appropriate. If you need a reasonable accommodation to participate in these public meetings, or need this meeting notice or the transcript or other information from the public meetings in another format (e.g. braille, large print), please notify Kimberly Meyer, NRC Disability Program Manager, at 301-287-0727, or by email at [kimberly.meyer-chambers@nrc.gov](mailto:kimberly.meyer-chambers@nrc.gov). Determinations on requests for reasonable accommodation will be made on a case-by-case basis.

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This notice is distributed electronically to subscribers. If you no longer wish to receive it, or would like to be added to the distribution, please contact the Office of the Secretary, Washington, DC 20555 (301-415-1969), or send an email to [darlene.wright@nrc.gov](mailto:darlene.wright@nrc.gov).

Dated: September 5, 2013.

**Rochelle C. Baval,**

*Policy Coordinator, Office of the Secretary.*

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**BILLING CODE 7590-01-P**

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-70316; File No. SR-NASDAQ-2013-108]

### Self-Regulatory Organizations; The NASDAQ Stock Market LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Amend Rule 1120 and To Adopt a Corresponding Fee

September 4, 2013.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”),<sup>1</sup> and Rule 19b-4 thereunder,<sup>2</sup> notice is hereby given that on August 22, 2013, The NASDAQ Stock Market LLC (“NASDAQ” or the “Exchange”) filed with the Securities and Exchange Commission (“Commission”) a proposed rule change as described in Items I and II below, which Items have been prepared by the Exchange. NASDAQ has designated the proposed rule change as constituting a non-controversial rule change under Section 19(b)(3)(A)(iii) of the Act<sup>3</sup> and Rule 19b-4(f)(6) thereunder,<sup>4</sup> which renders

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

<sup>2</sup> 17 CFR 240.19b-4.

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

<sup>4</sup> 17 CFR 240.19b-4(f)(6).

the proposal effective upon filing with the Commission. 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

NASDAQ is proposing to amend Rule 1120 as described below, and to adopt a corresponding fee.

The text of the proposed rule change is below. Proposed new language is italicized; proposed deletions are in brackets.

\* \* \* \* \*

#### 1120. Continuing Education Requirements

This Rule prescribes requirements regarding the continuing education of certain registered persons subsequent to their initial qualification and registration with Nasdaq. The requirements shall consist of a Regulatory Element and a Firm Element as set forth below.

##### (a) Regulatory Element

##### (1) Requirements

No member shall permit any registered person to continue to, and no registered person shall continue to, perform duties as a registered person unless such person has complied with the requirements of paragraph (a) hereof.

Each registered person shall complete the Regulatory Element on the occurrence of their second registration anniversary date and every three years thereafter, or as otherwise prescribed by Nasdaq. On each occasion, the Regulatory Element must be completed within 120 days after the person's registration anniversary date. A person's initial registration date, also known as the “base date,” shall establish the cycle of anniversary dates for purposes of this Rule. The content of the Regulatory Element shall be determined by Nasdaq and shall be appropriate to either the registered representative or principal status of the person subject to the Rule. The following Regulatory Elements administered by FINRA shall be required:

*Persons registered solely as Proprietary Traders pursuant to Rule 1032(c) must complete the S501.*

*Persons registered as General Securities Representatives pursuant to Rule 1032(a) must complete the S101.*

*Persons registered in a supervisory capacity pursuant to Rules 1021 and 1022 must complete the S201.*

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