

consider performance characteristics? How do you consider availability?

- What investments, if any, are you making to identify raw material input alternatives?
- Are there any emerging disruptive technologies or technology transitions (e.g., new applications or substitutes) that would dramatically change demand in the near term (5 years) or long term (15 years)?

Category 2: Exploration, Mining, and Smelting/Refining

- What barriers exist to exploration for additional resources of raw materials in the United States and globally?
- Once discovered, what barriers exist to the timely development of raw materials in the United States and globally?
- Is current North American separation, smelting, and/or refining capacity adequate to ensure reliable material supplies?
- What innovations in separation, smelting/refining technology or processes might affect U.S. or global resource supplies? What are the environmental impacts of these innovations?
- Are the mining, separation, smelting, and/or refining sites of the minerals required for your technologies adequately diversified to account for potential market failures or political risks?
- How do market size, market price, capital availability and other economic factors affect production decisions?

Category 3: Supply and Supply Chain

- What are the supply chains for the technologies identified as being important to your manufacturing processes and industry? How would you describe the significant stages of the supply chain?
- Are there vulnerabilities in the supply chain (domestic, foreign, sole source, import reliance, etc.) that lead to concerns regarding the supply of any of these materials and/or the ability to manufacture these technologies?
- How do you assess supply chain vulnerabilities and their impact?

Category 4: Market Dynamics

- How would you describe the market dynamics of your supply chains, including the overall supply of materials of interest?
- Are there any market distortions in the supply chain, such as opacity, lack of information, or trade-related distortions?
- Is there price volatility? If so, what factors drive this volatility?

Category 5: Mitigation

- What are some strategies you employ to mitigate supply chain concerns? (e.g., stockpiles, hedging, etc.)
- How do you cope with price volatility?
- Do you consider using technologies available with slightly reduced performance to avoid price and availability concerns?

Category 6: Other

- Is there additional information, not requested above, that you believe the CSMSC Subcommittee should consider in identifying emerging critical materials? If so, please provide here.

Ted Wackler,

Deputy Chief of Staff and Assistant Director.

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SECURITIES AND EXCHANGE COMMISSION

[SEC File No. 270-003, OMB Control No. 3235-0009]

Submission for OMB Review; Comment Request

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of FOIA Services, 100 F Street NE., Washington, DC 20549-2736.

Extension: Regulation S-X

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 *et seq.*), the Securities and Exchange Commission (“Commission”) has submitted to the Office of Management and Budget (“OMB”) a request for extension of the previously approved collection of information discussed below.

Information collected and information prepared pursuant to Regulation S-X focus on the form and content of, and requirements for, financial statements filed with periodic reports and in connection with the offer and sale of securities. Investors need reasonably current financial statements to make informed investment and voting decisions.

The potential respondents include all entities that file registration statements or reports pursuant to the Securities Act of 1933 (15 U.S.C. 77a, *et seq.*), the Securities Exchange Act of 1934 (15 U.S.C. 78a, *et seq.*) or the Investment Company Act of 1940 (15 U.S.C. 80a-1, *et seq.*).

Regulation S-X specifies the form and content of financial statements when those financial statements are required

to be filed by other rules and forms under the federal securities laws. Compliance burdens associated with the financial statements are assigned to the rule or form that directly requires the financial statements to be filed, not to Regulation S-X. Instead, an estimated burden of one hour traditionally has been assigned to Regulation S-X for incidental reading of the regulation. The estimated average burden hours are solely for purposes of the Paperwork Reduction Act and are not derived from a comprehensive or even a representative survey or study of the costs of SEC rules or forms.

Recordkeeping retention periods are based on the disclosure required by various forms and rules other than Regulation S-X. In general, balance sheets for the preceding two fiscal years, income and cash flow statements for the preceding three fiscal years, and condensed quarterly financial statements must be filed with the Commission. Five year summary financial information is required to be disclosed by some larger registrants.

Filing financial statements, when required by the governing rule or form, is mandatory. Because these statements are provided for the purpose of disseminating information to the securities markets, they are not kept confidential.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number.

The public may view the information discussed in this notice at www.reginfo.gov. Comments should be directed to: (i) Desk Officer for the Securities and Exchange Commission, Office of Information and Regulatory Affairs, Office of Management and Budget, Room 10102, New Executive Office Building, Washington, DC 20503, or by sending an email to: Shagufta_Ahmed@omb.eop.gov; and (ii) Thomas Bayer, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F St. NE., Washington DC 20549 or send an email to: PRA_Mailbox@sec.gov. Comments must be submitted to OMB within 30 days of this notice.

Dated: July 16, 2014.

Kevin M. O’Neill,
Deputy Secretary.

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