

correspondence from the NRC requesting licensees, on a voluntary basis, to submit information to assist in planning and budgeting resources. The submittal of this information is strictly voluntary. No specific action or written response is required. After the voluntary submittal period for this class of communication has expired, the document is no longer needed and, in most cases, has been superseded by a new request for the next fiscal year or time period. Therefore, the NRC is withdrawing the following generic communications:

- Administrative Letter (AL) 1998–03, “Operating Reactor Licensing Action Estimates,” May 6, 1998 (ADAMS Accession No. ML031110198);
- AL 1999–02, “Operating Reactor Licensing Action Estimates,” June 3, 1999 (ADAMS Accession No. ML031110137);
- Regulatory Issue Summary (RIS) 2000–04, “Operating Reactor Licensing Action Estimates,” March 16, 2000 (ADAMS Accession No. ML003687730);
- RIS 2001–08, “Operating Reactor Licensing Action Estimates,” April 2, 2001 (ADAMS Accession No. ML010880474);
- RIS 2001–21, “Licensing Action Estimates for Operating Reactors,” November 16, 2001 (ADAMS Accession No. ML012840123);
- RIS 2014–13, “Planned Licensing Action Submittals for all Power Reactor Licensees,” December 17, 2014 (ADAMS Accession No. ML14329A165);
- RIS 2008–01, “Process for Scheduling Acceptance Reviews Based on Notification of Applicant Submission Dates for Early Site Permits, Combined Licenses and Design Certifications and Process for Determining Budget Needs for Fiscal Year 2010,” January 10, 2008 (ADAMS Accession No. ML080030011);
- RIS 2009–03, “Process for Scheduling Acceptance Reviews of New Reactor Licensing Applications After April 2009 and Process for Determining Budget Needs For Fiscal Year 2011,” February 12, 2009 (ADAMS Accession No. ML083260416);
- RIS 2010–01, “Process for Scheduling Acceptance Reviews of New Reactor Licensing Applications and Process for Determining Budget Needs for Fiscal Year 2012,” February 3, 2010 (ADAMS Accession No. ML093230517);
- RIS 2010–03, “Licensing Submittal Information for Small Modular Reactor Designs,” February 25, 2010 (ADAMS Accession No. ML100260855);
- RIS 2010–10, “Process for Scheduling Acceptance Reviews of New Reactor Licensing Applications and Process for Determining Budget Needs for Fiscal Year 2013,” November 15,

2010 (ADAMS Accession No. ML102720901);

- RIS 2011–02, “Licensing Submittal Information and Design Development Activities for Small Modular Reactor Designs,” February 2, 2011 (ADAMS Accession No. ML103260128);
- RIS 2012–12, “Licensing Submittal Information and Design Development Activities for Small Modular Reactor Designs,” December 28, 2012 (ADAMS Accession No. ML12319A181);
- RIS 2013–08, “Process for Scheduling Acceptance Reviews of New Reactor Licensing and Design Certification Applications and Process for Determining Budget Needs for Fiscal Year 2016,” May 28, 2013 (ADAMS Accession No. ML13077A148);
- RIS 2013–18, “Licensing Submittal Information and Design Development Activities for Small Modular Reactor Designs,” November 15, 2013 (ADAMS Accession No. ML13263A227);
- RIS 2000–20, “Importance of Industry Providing NRC Advance Notice of Intent to Pursue License Renewal,” November 14, 2000 (ADAMS Accession No. ML003752145); and
- RIS 2003–02, “Importance of Giving NRC Advance Notice of Intent to Pursue License Renewal,” February 3, 2003 (ADAMS Accession No. ML030340042).

2. Generic Communications Withdrawn Because the Information Is Superseded, Out-Of-Date, No Longer Needed, or Being Provided to Interested Stakeholders in a Different Manner

- RIS 2002–08, “Availability of the Topical Report Program Description and Status on Staff Reviews on the NRC’s Web site,” dated May 22, 2002 (ADAMS Accession No. ML012760489), is withdrawn because this RIS informed industry that the publication of NUREG–0390, “Topical Report Review Status,” was being discontinued and all information contained within the NUREG would be available on the NRC’s Web site, <http://www.nrc.gov/about-nrc/regulatory/licensing/topical-reports.html>. This RIS is being withdrawn because the information within the NUREG has been replaced by technological innovations and is available electronically.

- Circular 1980–18, “10 CFR 50.59 [§ 50.59 of title 10 of the *Code of Federal Regulations*, “Changes, tests, and experiments”] Safety Evaluations for Changes to Radioactive Waste Treatment Systems,” dated August 22, 1980 (ADAMS Accession No. ML103420467), is withdrawn because the information is no longer applicable following the NRC rulemaking (65 FR 53613; October 4, 1999) that went into effect on March 13, 2001.

- The class of communications in reference to occupational dose or dose equivalent are withdrawn because the information contained within each RIS has been consolidated into the guidance in Regulatory Guide 8.40, “Methods for Measuring Effective Dose Equivalent from External Exposure,” dated July 31, 2010 (ADAMS Accession No. ML100610534). Therefore, these generic communications are being withdrawn:
 - RIS 2002–06, “Evaluating Occupational Dose for Individuals Exposed to NRC-Licensed Material and Medical X-Rays,” April 16, 2002 (ADAMS Accession No. ML021080436);
 - RIS 2003–04, “Use of the Effective Dose Equivalent in Place of the Deep Dose Equivalent in Dose Assessments,” February 13, 2003 (ADAMS Accession No. ML030370122);
 - RIS 2004–01, “Method for Estimating Effective Dose Equivalent from External Radiation Sources Using Two Dosimeters,” February 17, 2004 (ADAMS Accession No. ML040420042); and
 - RIS 2009–09, “Use of Multiple Dosimetry and Compartment Factors in Determining Effective Dose Equivalent from External Radiation Exposures, July 13, 2009 (ADAMS Accession No. ML082320040).
- GL 1989–17, “Planned Administrative Changes to the NRC Operator Licensing Written Exam Process,” September 6, 1989 (ADAMS Accession No. ML031140236), is withdrawn because the eligibility requirements for taking the generic fundamentals examination section has been incorporated into Revision 10 of NUREG–1021, “Operator Licensing Examination Standards for Power Reactors,” December 31, 2014 (ADAMS Accession No. ML14352A297).

Dated at Rockville, Maryland, this 19th day of October, 2016.

For the Nuclear Regulatory Commission.

Sheldon Stuchell,

*Chief, Generic Communications Branch,
Division of Policy and Rulemaking, Office
of Nuclear Reactor Regulation.*

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SECURITIES AND EXCHANGE COMMISSION

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:

Securities Rule 477, SEC File No. 270-493, OMB Control No. 3235-0550.

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 this request for extension of the previously approved collection of information discussed below.

Rule 477 (17 CFR 230.477) under the Securities Act of 1933 (15 U.S.C. 77a *et seq.*) sets forth procedures for withdrawing a registration statement, including any amendments or exhibits to the registration statement. The rule provides that if an issuer intends to rely on the safe harbor contained in Securities Act Rule 155 to conduct an unregistered private offering of securities, the issuer must affirmatively state in the withdrawal application that it plans to undertake a subsequent private offering of its securities. Without this statement, the Commission would not be able to monitor a company’s reliance on, and compliance with, Securities Act Rule 155(c). All information submitted to the Commission under Securities Act Rule 477 is available to the public for review. Information provided under Securities Act Rule 477 is mandatory. The information is required on occasion. We estimate that approximately 327 issuers will file Securities Act Rule 477 submissions annually at an estimated one hour per response for a total annual burden of approximately 327 hours. We estimate that 100% of the reporting burden is prepared by the issuer.

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 background documentation for this information collection at the following Web site, 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](mailto:Shagufta.Ahmed@omb.eop.gov); and (ii) Pamela Dyson, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F Street 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: October 18, 2016.

Brent J. Fields,

Secretary.

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-79122; File No. SR-DTC-2016-010]

Self-Regulatory Organizations; The Depository Trust Company; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Allow DTC To Automate the Process for Participants To Submit Eligibility Requests for Older Issues

October 19, 2016.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b-4,² notice is hereby given that on October 14, 2016, The Depository Trust Company (“DTC”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I, II and III below, which Items have been prepared by DTC. DTC filed the proposed rule change pursuant to Section 19(b)(3)(A) of the Act³ and Rule 19b-4(f)(4) thereunder.⁴ The proposed rule change was effective upon filing with the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Clearing Agency’s Statement of the Terms of Substance of the Proposed Rule Change

The proposed rule change would amend the DTC Operational Arrangements for Securities to Become and Remain Eligible for DTC Services (“OA”)⁵ and the DTC Underwriting Service Guide (“Guide”)⁶ to allow DTC to automate the process by which Participants submit requests and related documents for Securities that are already issued and outstanding (“Older Issues”) to become eligible for Deposit and book-entry transfer services at DTC (“Older Issue Eligibility Requests”).⁷

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ 15 U.S.C. 78s(b)(3)(A).

⁴ 17 CFR 240.19b-4(f)(4).

⁵ Available at <http://www.dtcc.com/~media/Files/Downloads/legal/issue-eligibility/eligibility/operational-arrangements.pdf>.

⁶ Available at <http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/Underwriting/Underwriting-Service-Guide.pdf>.

⁷ Capitalized terms not otherwise defined herein have the respective meanings set forth in the DTC Rules, By-laws and Organization Certificate

Upon its implementation, the proposed rule change would enhance efficiencies for Participants and DTC by providing a secure, centralized environment for the submission of Older Issue Eligibility Requests.

II. Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the clearing agency included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The clearing agency has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

(A) Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

The proposed rule change would change the method of submission of Older Issue Eligibility Requests by Participants from the current email method to instead utilize DTC’s Securities Origination, Underwriting and Reliable Corporate Action Environment (“UW SOURCE”) for this purpose.⁸

In order for an Older Issue to be made eligible for Deposit and book-entry transfer services at DTC, a Participant must submit an Older Issue Eligibility Request to DTC⁹ that evidences that the Older Issue meets DTC’s requirements for Securities to become and remain eligible for DTC services¹⁰ as set forth in the OA (“Eligibility Requirements”).¹¹ The Older Issue Eligibility Request must at a minimum include a questionnaire (“Older

(“Rules”), available at <http://www.dtcc.com/legal/rules-and-procedures.aspx>.

⁸ UW SOURCE is an existing Internet-based system currently used by Participants to submit eligibility requests for newly-issued Securities (“New Issues”). See OA, *supra* note 5, at 1. The process for submitting eligibility requests for New Issues through UW SOURCE would not change as a result of the proposed rule change. See generally DTC UW Reengineering Web page, available at <http://dtcc.com/matching-settlement-and-asset-services/underwriting/uw-source-info> (providing background and links to additional information on UW SOURCE).

⁹ Only Participants can request that DTC make a Security eligible. See OA, *supra* note 5, at 1-2.

¹⁰ It is the responsibility of the Participant requesting eligibility for the Securities to provide evidence that the Securities satisfy the criteria set forth in DTC’s OA. See *id.*

¹¹ See OA, *supra* note 5, at 2-13 (for DTC’s eligibility criteria).