

personal identifying information from comment submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR–BOX–2018–30, and should be submitted on or before October 30, 2018.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁴

Eduardo A. Aleman,

Assistant Secretary.

[FR Doc. 2018–21783 Filed 10–5–18; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Securities Exchange Act of 1934; Release No. 34–84337/October 2, 2018]

In the Matter of Chicago Stock Exchange, Inc., 440 South LaSalle Street, Suite 800, Chicago, IL 60605; File No. SR–CHX–2017–04; Order Setting Aside the Order by Delegated Authority Approving SR–CHX–2017–04

On February 10, 2017, the Chicago Stock Exchange, Inc. (“Exchange” or “CHX”) filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Exchange Act”) ¹ and Rule 19b–4 thereunder,² a proposed rule change to adopt the CHX Liquidity Enhancing Access Delay on a pilot basis. The proposed rule change was published for comment in the **Federal Register** on February 21, 2017.³ On April 3, 2017, the Commission designated a longer period within which to approve the proposed rule change, disapprove the proposed rule change, or institute proceedings to determine whether the proposed rule change should be disapproved.⁴ On May 22, 2017, the Commission instituted proceedings under Section 19(b)(2)(B) of the Exchange Act ⁵ to determine whether to approve or disapprove the proposed rule change.⁶ On August 17, 2017, pursuant to Section 19(b)(2) of the Exchange Act,⁷ the Commission designated a longer period for Commission action on proceedings to

determine whether to approve or disapprove the proposed rule change.⁸ On September 19, 2017, the Exchange filed Amendment No. 1 to the proposed rule change.⁹ On October 18, 2017, the Exchange filed Amendment No. 2 to the proposed rule change.¹⁰ On October 19, 2017, the Division of Trading and Markets, for the Commission pursuant to delegated authority,¹¹ approved the proposed rule change, as modified by Amendments No. 1 and No. 2.¹²

On October 24, 2017, the Secretary of the Commission notified the Exchange that pursuant to Rule 431 of the Commission’s Rules of Practice,¹³ the Commission would review the Delegated Order and that the Delegated Order was stayed until the Commission ordered otherwise.¹⁴ On November 8, 2017, the Commission issued a scheduling order allowing the filing of additional statements.¹⁵

On July 25, 2018, CHX withdrew the proposed rule change (SR–CHX–2017–04).¹⁶

Under Commission Rule of Practice 431(a), the Commission may “affirm, reverse, modify, set aside or remand for further proceedings, in whole or in part, any action made pursuant to” delegated authority.¹⁷ We find that, in light of the CHX’s withdrawal of the proposed rule change, it is appropriate to set aside the Delegated Order.

Accordingly, *it is ordered* that the October 19, 2017 order approving by delegated authority CHX’s proposed rule change number SR–CHX–2017–04, be, and it hereby is, set aside.

By the Commission.

Eduardo A. Aleman,

Assistant Secretary.

[FR Doc. 2018–21761 Filed 10–5–18; 8:45 am]

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⁸ See Securities Exchange Act Release No. 81415, 82 FR 40051 (August 23, 2017).

⁹ The amendments to the proposed rule change are available at: <https://www.sec.gov/comments/sr-chx-2017-04/chx201704.htm>.

¹⁰ See *supra* note 9.

¹¹ 17 CFR 200.30–3(a)(12).

¹² See Exchange Act Release No. 81913, 82 FR 49433 (October 25, 2017) (“Delegated Order”).

¹³ 17 CFR 201.431.

¹⁴ See Letter from Secretary of the Commission to Albert (A.J.) Kim, VP and Associate General Counsel, Chicago Stock Exchange, Inc., dated October 24, 2017, available at <https://www.sec.gov/rules/sro/chx/2017/34-81913-letter-from-secretary.pdf>.

¹⁵ See Exchange Act Release No. 80234, 82 FR 52762 (November 14, 2017).

¹⁶ See letter from Albert J. Kim, Vice President and Associate General Counsel, CHX, to Eduardo A. Aleman, Assistant Secretary, Commission, dated July 25, 2018.

¹⁷ 17 CFR 201.431(a).

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:

Rule 10f–3; SEC File No. 270–237, OMB Control No. 3235–0226

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520), the Securities and Exchange Commission (“Commission”) has submitted to the Office of Management and Budget a request for extension and approval of the collections of information discussed below.

Section 10(f) of the Investment Company Act of 1940 (15 U.S.C. 80a) (the “Act”) prohibits a registered investment company (“fund”) from purchasing any security during an underwriting or selling syndicate if the fund has certain relationships with a principal underwriter for the security. Congress enacted this provision in 1940 to protect funds and their shareholders by preventing underwriters from “dumping” unmarketable securities on affiliated funds.

Rule 10f–3 (17 CFR 270.10f–3) permits a fund to engage in a securities transaction that otherwise would violate section 10(f) if, among other things: (i) The fund’s directors have approved procedures for purchases made in reliance on the rule, regularly review fund purchases to determine whether they comply with these procedures, and approve necessary changes to the procedures; and (ii) a written record of each transaction effected under the rule is maintained for six years, the first two of which in an easily accessible place. The written record must state: (i) From whom the securities were acquired; (ii) the identity of the underwriting syndicate’s members; (iii) the terms of the transactions; and (iv) the information or materials on which the fund’s board of directors has determined that the purchases were made in compliance with procedures established by the board.

The rule also conditionally allows managed portions of fund portfolios to purchase securities offered in otherwise off-limits primary offerings. To qualify for this exemption, rule 10f–3 requires that the subadviser that is advising the purchaser be contractually prohibited from providing investment advice to any other portion of the fund’s portfolio

¹⁴ 17 CFR 200.30–3(a)(12).

¹⁵ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b–4.

³ See Securities Exchange Act Release No. 80041 (February 14, 2017), 82 FR 11252.

⁴ See Securities Exchange Act Release No. 80364, 82 FR 17065 (April 7, 2017).

⁵ 15 U.S.C. 78s(b)(2)(B).

⁶ See Securities Exchange Act Release No. 80740, 82 FR 24412 (May 26, 2017).

⁷ 15 U.S.C. 78s(b)(2).