

Site visit review of the National High Magnetic Field Laboratory (NHMFL) at Florida State University, Tallahassee, FL (#1203).

Date and Time: November 14, 2018; 7:30 a.m.–8:30 p.m.; November 15, 2018; 7:30 a.m.–5 p.m.

Place: NHMFL—Florida State University, 1800 E Paul Dirac Dr., Tallahassee, FL 32310.

Type of Meeting: Part-Open.

Contact Person: Dr. Leonard Spinu, Program Director, Division of Materials Research, National Science Foundation, 2415 Eisenhower Avenue, Alexandria, VA 22314; Telephone: (703) 292–2665.

Purpose of Meeting: Site visit to provide advice and recommendations concerning further support of the NHMFL.

Agenda

Wednesday, November 14, 2018

7:30 a.m.–4:15 p.m. Open—Review of the NHMFL

4:15 p.m.–8:30 p.m. Closed—Executive Session

Thursday, November 15, 2018

7:30 a.m.–9 a.m. Open—Review of the NHMFL

9 a.m.–5 p.m. Closed—Executive Session, Draft and Review Report

Reason for Closing: The work being reviewed during closed portions of the site visit includes information of a proprietary or confidential nature, including technical information; financial data, such as salaries and personal information concerning individuals associated with the project. These matters are exempt under 5 U.S.C. 552b(c), (4) and (6) of the Government in the Sunshine Act.

Dated: October 9, 2018.

Crystal Robinson,

Committee Management Officer.

[FR Doc. 2018–22286 Filed 10–12–18; 8:45 am]

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NATIONAL SCIENCE FOUNDATION

Proposal Review Panel for Physics; Notice of Meeting

In accordance with the Federal Advisory Committee Act (Pub. L. 92–463, as amended), the National Science Foundation (NSF) announces the following meeting:

Name and Committee Code: Proposal Review Panel for the Division of Physics (1208)—University of California-Berkeley—Site Visit.

Date and Time: November 14, 2018; 8:00 p.m.–9:00 p.m., November 15, 2018; 8:30 a.m.–6:45 p.m. through November 16, 2018; 8:30 a.m.–4:00 p.m.

Place: University of California-Berkeley, 420 Latimer Hall, Berkeley, CA 94720.

Type of Meeting: Part-Open.

Contact Person: Bogdan Mihaila, Program Director for Nuclear Theory, Division of Physics, National Science Foundation, 2415 Eisenhower Avenue, Room W9217, Alexandria, VA 22314; Telephone: (703) 292–8235.

Purpose of Meeting: Site visit to provide an evaluation of the progress of the projects at the host site for the Division of Physics at the National Science Foundation.

Agenda

November 14, 2018 8:00 a.m.–9:00 p.m.

8:00 p.m.–9:00 p.m. Informal Panel Orientation (CLOSED)

November 15, 2018; 8:30 a.m.–6:45 p.m.

8:30 a.m.–8:45 a.m. Greetings and introductions

8:45 a.m.–9:00 a.m. Executive Session (CLOSED)

9:00 a.m.–9:45 a.m. N3AS Director Report on FRHTP Program and Activities

9:45 a.m.–10:00 a.m. Break

10:00 a.m.–12:15 p.m. Science Presentations (SIs or PSIs)

12:15 p.m.–1:45 p.m. Lunch (with Postdocs/Students) (CLOSED)

1:45 p.m.–2:30 p.m. Science Presentations (SIs) or (PSIs)

2:30 p.m.–4:15 p.m. Postdoc Presentations

4:15 p.m.–5:00 p.m. Executive Session to formulate queries (CLOSED)

5:00 p.m.–6:45 p.m. Poster Session

6:45 p.m. Panel and NSF Staff Dinner (CLOSED)

November 16, 2018; 8:30 a.m.–4:00 p.m.

8:30 a.m.–9:00 a.m. Coffee and Pastries

9:00 a.m.–10:30 a.m. Response to Panel Queries (CLOSED)

10:30 a.m.–11:00 a.m. Department Chair (CLOSED)

11:00 p.m.–12:00 p.m. Dean and VPR (CLOSED)

12:00 p.m.–1:30 p.m. Executive Session (Lunch) (CLOSED)

1:30 p.m.–2:15 p.m. N3AS Director (PI) & Executive Board (Co-PIs) (CLOSED)

2:15 p.m.–4:00 p.m. Complete Report (CLOSED)

5:00 p.m. Adjourn

Reason for Closing: Topics to be discussed and evaluated during the closed portions of the site review will include information of a proprietary or confidential nature, including technical information and information on personnel. These matters are exempt under 5 U.S.C. 552b(c), (4) and (6) of the Government in the Sunshine Act.

Dated: October 10, 2018.

Crystal Robinson,

Committee Management Officer.

[FR Doc. 2018–22401 Filed 10–12–18; 8:45 am]

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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:

Form 11–K; SEC File No. 270–101, OMB Control No. 3235–0082

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.

Form 11–K (17 CFR 249.311) is the annual report designed for use by employee stock purchase, savings and similar plans to comply with the reporting requirements under Section 15(d) of the Securities and Exchange Act of 1934 (the “Exchange Act”) (15 U.S.C. 78o(d)). Section 15(d) establishes a periodic reporting obligation for every issuer of securities registered under the Securities Act of 1933 (the “Securities Act”) (15 U.S.C. 77a *et seq.*). Form 11–K provides employees of an issuer with financial information so that they can assess the performance of the stock plan or investment vehicle. The information collected must be filed with the Commission and is publicly available. Form 11–K takes approximately 30 hours per response and is filed by 1,302 respondents for total of 39,060 burden hours (30 hours per response x 1,302 responses).

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 website, 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: Lindsay.M.Abate@omb.eop.gov; and (ii) Charles Riddle, Acting Director/Chief Information Officer, Securities and Exchange Commission, c/o Candace Kenner, 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 9, 2018.

Eduardo A. Aleman,
Assistant Secretary.

[FR Doc. 2018-22288 Filed 10-12-18; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-84386; File No. SR-NASDAQ-2018-078]

Self-Regulatory Organizations; The Nasdaq Stock Market LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Amend, Reorganize and Enhance Its Membership, Registration and Qualification Rules

October 9, 2018.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”),¹ and Rule 19b-4 thereunder,² notice is hereby given that on September 27, 2018, The Nasdaq Stock Market LLC (“Nasdaq” or “Exchange”) filed with the Securities and Exchange Commission (“SEC” or “Commission”) the proposed rule change as described in Items I and II, below, which Items have been prepared by the Exchange. The 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

The Exchange proposes to amend, reorganize and enhance its membership, registration and qualification rules, and to make conforming changes to certain other rules.

The text of the proposed rule change is available on the Exchange’s website at <http://nasdaq.cchwallstreet.com>, at the principal office of the Exchange, and at the Commission’s Public Reference Room.

II. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the Exchange 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 Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose Overview

Nasdaq has adopted registration requirements to ensure that associated persons attain and maintain specified levels of competence and knowledge pertinent to their function. In general, the current rules require that persons engaged in a member’s investment banking or securities business who are to function as representatives or principals register with the Exchange in each category of registration appropriate to their functions by passing one or more qualification examinations,³ and exempt specified associated persons from the registration requirements.⁴ They also prescribe ongoing continuing education requirements for registered persons.⁵ The Exchange now proposes to amend, reorganize and enhance its rules regarding registration, qualification examinations and continuing education, as described below.

In 2006 Nasdaq separated from the National Association of Securities Dealers, Inc. (formerly “NASD” and now the Financial Industry Regulatory Authority or “FINRA”) and began to operate as a national securities exchange. At that time it adopted a rulebook with provisions respecting registration, qualification examinations and continuing education that were designed to parallel the NASD rulebook

in many respects.⁶ Recently, the Commission approved a FINRA proposed rule change consolidating and adopting NASD and Incorporated NYSE rules relating to qualification and registration requirements into the Consolidated FINRA Rulebook,⁷ restructuring the FINRA representative-level qualification examinations, creating a general knowledge examination and specialized knowledge examinations, allowing permissive registration, establishing an examination waiver process for persons working for a financial services affiliate of a member, and amending certain continuing education (“CE”) requirements (collectively, the “FINRA Rule Changes”).⁸ The FINRA Rule Changes will become effective on October 1, 2018.

The Exchange now proposes to amend, reorganize and enhance certain of its corresponding membership, registration and qualification requirements rules in part in response to the FINRA Rule Changes, and also in order to facilitate the adoption of similar membership, registration and qualification rules by Nasdaq’s affiliated exchanges in the interest of uniformity and to facilitate compliance with membership, registration and qualification regulatory requirements by members of multiple Nasdaq-affiliated exchanges. At the same time, the Exchange is proposing to further amend or delete certain existing Exchange rules originally based upon FINRA rules but

⁶ See Securities Exchange Act Release No. 54136 (July 12, 2006), 71 FR 40759 (July 18, 2006).

⁷ The current FINRA rulebook consists of: (1) FINRA rules; (2) NASD rules; and (3) rules incorporated from the New York Stock Exchange (“NYSE”) (the “Incorporated NYSE rules”). While the NASD rules generally apply to all FINRA members, the Incorporated NYSE rules apply only to those members of FINRA that are also members of the NYSE.

⁸ See Securities Exchange Act Release No. 81098 (July 7, 2017), 82 FR 32419 (July 13, 2017) (Order Approving File No. SR-FINRA-2017-007). See also FINRA Regulatory Notice 17-30 (SEC Approves Consolidated FINRA Registration Rules, Restructured Representative-Level Qualification Examinations and Changes to Continuing Education Requirements) (October 2017). FINRA articulated its belief that the proposed rule change would streamline, and bring consistency and uniformity to, its registration rules, which would, in turn, assist FINRA members and their associated persons in complying with the rules and improve regulatory efficiency. FINRA also determined to enhance the overall efficiency of its representative-level examinations program by eliminating redundancy of subject matter content across examinations, retiring several outdated representative-level registrations, and introducing a general knowledge examination that could be taken by all potential representative-level registrants and the general public. FINRA amended certain aspects of its continuing education rule, including by codifying existing guidance regarding the effect of failing to complete the Regulatory Element on a registered person’s activities and compensation.

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ See, e.g., Exchange Rules 1021, Registration Requirements, 1022, Categories of Principal Registration, 1031, Registration Requirements, 1032, Categories of Representative Registration, and 1041, Registration Requirements for Assistant Representatives.

⁴ See Rule 1060, Persons Exempt from Registration.

⁵ See Rule 1120, Continuing Education Requirements.