

which expires on February 29, 2020. This information collection seeks to extend OSC's period for using a form to collect this information through 2023.

**DATES:** Interested persons are invited to submit comments by December 16, 2019.

**ADDRESSES:** You may submit comments identified by "Form OSC-14" by any of the following methods:

- *Federal eRulemaking Portal:* <http://www.regulations.gov>. Follow the instructions for sending comments.

- *Email:* [FRLiaison@osc.gov](mailto:FRLiaison@osc.gov). Include "Form OSC-14 Comment" in the subject line of the message.

- *Mail:* U.S. Office of Special Counsel, Attention: **Federal Register Liaison**, 1730 M Street NW, Suite 218, Washington, DC 20036.

All comments received may be posted without change to OSC's website, including any personal information provided.

**FOR FURTHER INFORMATION CONTACT:**

Susan K. Ullman, General Counsel, U.S. Office of Special Counsel, by telephone at (202) 804-7000, or by email at [sullman@osc.gov](mailto:sullman@osc.gov).

**SUPPLEMENTARY INFORMATION:**

**I. Abstract**

OSC is a permanent independent federal investigative and prosecutorial agency. OSC's basic authorities come from four federal statutes: The Civil Service Reform Act, the Whistleblower Protection Act, the Hatch Act, and the Uniformed Services Employment & Reemployment Rights Act (USERRA). OSC's primary mission is to safeguard the merit system by protecting federal employees and applicants from prohibited personnel practices, especially reprisal for whistleblowing, and to serve as a safe channel for allegations of wrongdoing.

OSC is seeking renewal of the approval for the information collection for Form OSC-14. The electronic form must be used to submit allegations of possible prohibited personnel practices or other prohibited activity for investigation and possible prosecution by OSC and is recommended for filing disclosures of covered wrongdoing for review and possible referral to heads of agencies. The form may also be used by individuals to file complaints under the Hatch Act.

**II. Request for Comments**

OSC requests that you send your comments on this collection to the location listed in the **ADDRESSES** section. Your comments should address the following: (a) The necessity of the information collection for OSC to

perform its functions; (b) the accuracy of the estimated burden (hours and cost) of the collection of information; (c) ways OSC could enhance the quality, utility, and clarity of the information to be collected; and (d) ways OSC could minimize the burden of the collection of the information on the respondents. All comments will be available for review at the location listed in the **ADDRESSES** section during the hours of 9 a.m.–5 p.m., Eastern Time, Monday through Friday except for legal holidays. Before including your address, phone number, email address or other personally identifiable information (PII), please be advised that your entire comment—including your PII—may be made public at any time.

**III. Data**

OMB Control Number 3255-0005.

*Title of Collection:* Updated Form OSC-14: Electronic Submission of Allegations and Disclosures.

The updated electronic form is available on the OSC website at <https://osc.gov/Pages/File-Complaint.aspx>.

*Brief Description of Collection:* Submission of this information allows OSC to receive complaints and disclosures.

*Type of Information Collection Request:* Approval of a collection of information from individuals who choose to file complaints or disclosures with OSC. The proposed collection is the same as the collection that was approved on an emergency basis and replaces three separate forms OSC previously used to collect the information. This is for an extension without change of a currently approved collection.

*Affected Public:* Current and former Federal employees, applicants for Federal employment, state and local government employees, and their representatives, and the general public.

*Respondent's Obligation:* Voluntary.

*Estimated Annual Number of Form OSC-14 Respondents:* 6000 (estimate based on a review of recent OSC Annual Reports and Congressional Budget Justifications, and trends).

*Frequency of Use of Updated Form OSC-14:* Daily.

*Estimated Average Amount of Time for a Person to Respond Using Form OSC-14:* For prohibited personnel practice and other prohibited activities allegations, one hour and 15 minutes; for whistleblower disclosures, one hour; and for Hatch Act allegations, 30 minutes to complete the form. OSC based these estimates on testing completed by OSC employees during the development of the collection form.

*Estimated Annual Burden for Filing Form OSC-14:* 6917.5 hours.

Dated: October 9, 2019.

**Travis Millsaps,**

*Deputy Special Counsel for Policy.*

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**BILLING CODE 7405-01-P**

**SECURITIES AND EXCHANGE COMMISSION**

[Release No. 34-87246; File No. SR-OCC-2019-007]

**Self-Regulatory Organizations; The Options Clearing Corporation; Notice of Filing of Partial Amendment No. 1 and Notice of Designation of Longer Period for Commission Action on Proposed Rule Change Concerning a Proposed Capital Management Policy That Would Support the Options Clearing Corporation's Function as a Systemically Important Financial Market Utility**

October 8, 2019.

**I. Introduction**

On August 9, 2019, the Options Clearing Corporation ("OCC") filed with the Securities and Exchange Commission ("Commission") the proposed rule change SR-OCC-2019-007 ("Proposed Rule Change") pursuant to Section 19(b) of the Securities Exchange Act of 1934 ("Exchange Act")<sup>1</sup> and Rule 19b-4<sup>2</sup> thereunder to adopt a policy concerning capital management at OCC, which includes OCC's plan to replenish its capital in the event it falls close to or below target capital levels.<sup>3</sup> The Proposed Rule Change was published for public comment in the **Federal Register** on August 27, 2019.<sup>4</sup> The Commission received comments regarding the Proposed Rule Change.<sup>5</sup> On September

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

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

<sup>3</sup> See Notice of Filing *infra* note 4, at 84 FR 44952.

<sup>4</sup> Securities Exchange Act Release No. 86725 (Aug. 21, 2019), 84 FR 44952 (Aug. 27, 2019) (SR-OCC-2019-007) ("Notice of Filing"). OCC also filed a related advance notice (SR-OCC-2019-805) ("Advance Notice") with the Commission pursuant to Section 806(e)(1) of Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act, entitled the Payment, Clearing, and Settlement Supervision Act of 2010 and Rule 19b-4(n)(1)(i) under the Exchange Act. 12 U.S.C. 5465(e)(1). 15 U.S.C. 78s(b)(1) and 17 CFR 240.19b-4. The Advance Notice was published in the **Federal Register** on September 11, 2019. Securities Exchange Act Release No. 86888 (Sep. 5, 2019), 84 FR 47990 (Sep. 11, 2019) (SR-OCC-2019-805).

<sup>5</sup> See letter from Jacqueline Mesa, Chief Operating Officer & Senior Vice President of Global Policy Futures Industry Association ("FIA"), dated September 17, 2019, to Vanessa Countryman,

11, 2019, OCC filed a partial amendment (“Partial Amendment No. 1”) to modify the Proposed Rule Change.<sup>6</sup> The Commission is publishing this notice to solicit comments on Partial Amendment No. 1 from interested persons.

## II. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the Proposed Rule Change is consistent with the Exchange Act. Comments may be submitted by any of the following methods:

### Electronic Comments

- Use the Commission’s internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an email to [rule-comments@sec.gov](mailto:rule-comments@sec.gov). Please include File Number SR–OCC–2019–007 on the subject line.

### Paper Comments

Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549.

All submissions should refer to File Number SR–OCC–2019–007. This file number should be included on the subject line if email is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission’s internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the

Secretary, Commission (“FIA Letter”); letter from Joseph P. Kamnik, Senior Vice President and Chief Regulatory Counsel, OCC, dated September 20, 2019 to Vanessa Countryman, Secretary, Commission (“OCC Letter”); letter from Steven Morrison, SVP, Associate General Counsel, LPL Financial (“LPL”) to Brent J. Fields, Secretary, Commission, dated September 17, 2019 (received September 26, 2019) (“LPL Letter”), available at <https://www.sec.gov/comments/sr-occ-2019-007/srocc2019007.htm>.

<sup>6</sup>In Partial Amendment No. 1, OCC appended an Exhibit 2 to the materials filed on August 9, 2019 regarding File No. SR–OCC–2019–007. The appended Exhibit 2 consists of communications from OCC concerning the proposal dated after OCC filed the proposal on August 9, 2019 and does not change the purpose of or basis for the Proposed Rule Change. References to the Proposed Rule Change from this point forward refer to the Proposed Rule Change, as amended by Partial Amendment No. 1.

provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission’s Public Reference Room, 100 F Street NE, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of such filings will also be available for inspection and copying at the principal office of OCC and OCC’s website at <https://www.theocc.com/about/publications/bylaws.jsp>.

All comments received will be posted without change. Persons submitting comments are cautioned that we do not redact or edit 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–OCC–2019–007 and should be submitted on or before October 30, 2019.

## III. Designation of Longer Period for Commission Action

Section 19(b)(2) of the Exchange Act<sup>7</sup> provides that, within 45 days of the publication of notice of the filing of a proposed rule change, or within such longer period up to 90 days as the Commission may designate if it finds such longer period to be appropriate and publishes its reasons for so finding, or as to which the self-regulatory organization consents, the Commission shall either approve the proposed rule change, disapprove the proposed rule change, or institute proceedings to determine whether the proposed rule change should be disapproved. The 45th day after publication of the Notice of Filing is October 11, 2019. The Commission is extending this 45-day time period.

In order to provide the Commission with sufficient time to consider the Proposed Rule Change, the Commission finds that it is appropriate to designate a longer period within which to take action on the Proposed Rule Change.

Accordingly, the Commission, pursuant to Section 19(b)(2) of the Exchange Act,<sup>8</sup> designates November 25, 2019 as the date by which the Commission shall either approve, disapprove, or institute proceedings to determine whether to disapprove proposed rule change SR–OCC–2019–007.

<sup>7</sup> 15 U.S.C. 78s(b)(2).

<sup>8</sup> *Id.*

<sup>9</sup> 17 CFR 200.30–3(a)(31).

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>9</sup>

**Eduardo A. Aleman,**  
*Deputy Secretary.*

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## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–87256; File No. 265–33]

### Asset Management Advisory Committee

**AGENCY:** Securities and Exchange Commission.

**ACTION:** Notice of Federal Advisory Committee Establishment.

**SUMMARY:** The Securities and Exchange Commission is publishing this notice to announce that the Chairman of the Commission, with the concurrence of the other Commissioners, intends to establish the Securities and Exchange Commission Asset Management Advisory Committee.

**ADDRESSES:** Written comments may be submitted by the following methods:

### Electronic Comments

- Use the Commission’s internet submission form (<http://www.sec.gov/rules/other.shtml>); or
- Send an email message to [rule-comments@sec.gov](mailto:rule-comments@sec.gov), including File No. 265–33 on the subject line.

### Paper Comments

- Send paper comments in triplicate to Vanessa A. Countryman, Secretary, Securities and Exchange Commission, 100 F Street NE, Washington, DC 20549–1090.

All submissions should refer to File No. 265–33. To help us process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission’s internet website (<http://www.sec.gov/rules/other.shtml>).

Comments also will be available for website viewing and printing in the Commission’s Public Reference Room, 100 F Street NE, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. All comments received will be posted without change. Persons submitting comments are cautioned that we do not redact or edit personal identifying information from comment submissions. You should submit only information that you wish to make available publicly.

**FOR FURTHER INFORMATION CONTACT:**  
Christian Broadbent or Mark Uyeda,