

U.S. code citation	Civil monetary penalty description	2020 adjustment penalty amounts	CPI-U multiplier	2021 adjusted penalty amounts
	For natural person/fraud/substantial losses or risk of losses to others.	192,768	1.01182	195,047
	For any other person/fraud/substantial losses or risk of losses to others.	963,837	1.01182	975,230
15 U.S.C. 78ff(b) (Exchange Act Sec. 32(b)).	Exchange Act/failure to file information documents, reports.	569	1.01182	576
15 U.S.C. 78ff(c)(1)(B) (Exchange Act Sec. 32(c)(1)(B)).	Foreign Corrupt Practices—any issuer .....	21,410	1.01182	21,663
15 U.S.C. 78ff(c)(2)(B) (Exchange Act Sec. 32(c)(2)(B)).	Foreign Corrupt Practices—any agent or stockholder acting on behalf of issuer.	21,410	1.01182	21,663
15 U.S.C. 80a–9(d) (Investment Company Act Sec. 9(d)).	For natural person .....	9,639	1.01182	9,753
	For any other person .....	96,384	1.01182	97,523
	For natural person/fraud .....	96,384	1.01182	97,523
	For any other person/fraud .....	481,920	1.01182	487,616
	For natural person/fraud/substantial losses or risk of losses to others or gains to self.	192,768	1.01182	195,047
	For any other person/fraud/substantial losses or risk of losses to others or gain to self.	963,837	1.01182	975,230
15 U.S.C. 80a–41(e) (Investment Company Act Sec. 42(e)).	For natural person .....	9,639	1.01182	9,753
	For any other person .....	96,384	1.01182	97,523
	For natural person/fraud .....	96,384	1.01182	97,523
	For any other person/fraud .....	481,920	1.01182	487,616
	For natural person/fraud/substantial losses or risk of losses to others.	192,768	1.01182	195,047
	For any other person/fraud/substantial losses or risk of losses to others.	963,837	1.01182	975,230
15 U.S.C. 80b–3(i) (Investment Advisers Act Sec. 203(i)).	For natural person .....	9,639	1.01182	9,753
	For any other person .....	96,384	1.01182	97,523
	For natural person/fraud .....	96,384	1.01182	97,523
	For any other person/fraud .....	481,920	1.01182	487,616
	For natural person/fraud/substantial losses or risk of losses to others or gains to self.	192,768	1.01182	195,047
	For any other person/fraud/substantial losses or risk of losses to others or gain to self.	963,837	1.01182	975,230
15 U.S.C. 80b–9(e) (Investment Advisers Act Sec. 209(e)).	For natural person .....	9,639	1.01182	9,753
	For any other person .....	96,384	1.01182	97,523
	For natural person/fraud .....	96,384	1.01182	97,523
	For any other person/fraud .....	481,920	1.01182	487,616
	For natural person/fraud/substantial losses or risk of losses to others.	192,768	1.01182	195,047
	For any other person/fraud/substantial losses or risk of losses to others.	963,837	1.01182	975,230
15 U.S.C. 7215(c)(4)(D)(i) (Sarbanes-Oxley Act Sec. 105(c)(4)(D)(i)).	For natural person .....	141,943	1.01182	143,621
	For any other person .....	2,838,885	1.01182	2,872,441
15 U.S.C. 7215(c)(4)(D)(ii) (Sarbanes-Oxley Act Sec. 105(c)(4)(D)(ii)).	For natural person .....	1,064,582	1.01182	1,077,165
	For any other person .....	21,291,632	1.01182	21,543,299

Pursuant to the 2015 Act and 17 CFR 201.1001, the adjusted penalty amounts in this Notice (and all penalty adjustments performed pursuant to the 2015 Act) apply to penalties imposed after the date the adjustment is effective for violations that occurred after November 2, 2015, the 2015 Act’s enactment date. These penalty amounts supersede the amounts in the 2020 Adjustment.<sup>16</sup> For violations that

<sup>16</sup> The penalty amounts in this Notice are being published in the **Federal Register** and will not be added to the Code of Federal Regulations in accordance with the 2015 Act and 17 CFR 201.1001(b). See 28 U.S.C. 2461 note Sec. 4(a)(2); 17 CFR 201.1001(b). In addition to being published in the **Federal Register**, the penalty amounts in this Notice will be made available on the Commission’s website at <https://www.sec.gov/enforce/civil-penalties-inflation-adjustments.htm>, as detailed in

occurred on or before November 2, 2015, the penalty amounts in Table I to 17 CFR 201.1001 continue to apply.<sup>17</sup>

By the Commission.  
 Dated: January 8, 2021.  
**J. Matthew DeLesDernier**,  
*Assistant Secretary*.  
 [FR Doc. 2021–00528 Filed 1–12–21; 8:45 am]  
**BILLING CODE 8011–01–P**

<sup>17</sup> 17 CFR 201.1001(b). This website also lists the penalty amounts for violations that occurred on or before November 2, 2015.  
<sup>17</sup> 17 CFR 201.1001(a).

**DEPARTMENT OF STATE**

[Public Notice 11289]

**Secretary of State’s Determinations under the International Religious Freedom Act of 1998 and Frank R. Wolf International Religious Freedom Act of 2016**

The Secretary Of State’s Designation Of “Countries Of Particular Concern” And “Special watch list” countries for religious freedom violations pursuant to Section 408(a) of the International Religious Freedom Act of 1998 (Pub. L. 105–292), as amended (the Act), notice is hereby given that, on December 2, 2020, the Secretary of State, under authority delegated by the President, has designated each of the following as

a “country of particular concern” (CPC) under Section 402(b) of the Act, for having engaged in or tolerated particularly severe violations of religious freedom: Burma, China, the Democratic People’s Republic of Korea, Eritrea, Iran, Nigeria, Pakistan, Saudi Arabia, Tajikistan, and Turkmenistan. The Secretary simultaneously designated the following Presidential Actions for these CPCs:

For Burma, the existing ongoing restrictions referenced in 22 CFR 126.1, pursuant to section 402(c)(5) of the Act;

For China, the existing ongoing restriction on exports to China of crime control or detection instruments or equipment, under the Foreign Relations Authorization Act, Fiscal Years 1990 and 1991 (Pub. L. 101–246), pursuant to section 402(c)(5) of the Act;

For the Democratic People’s Republic of Korea, the existing ongoing restrictions to which the Democratic People’s Republic of Korea is subject, pursuant to sections 402 and 409 of the Trade Act of 1974 (the Jackson-Vanik Amendment), and pursuant to section 402(c)(5) of the Act;

For Eritrea, the existing ongoing restrictions referenced in 22 CFR 126.1, pursuant to section 402(c)(5) of the Act;

For Iran, the existing ongoing travel restrictions in section 221(c) of the Iran Threat Reduction and Syria Human Rights Act of 2012 (TRA) for individuals identified under section 221(a)(1)(C) of the TRA in connection with the commission of serious human rights abuses, pursuant to section 402(c)(5) of the Act;

For Nigeria, a waiver as required in the “important national interest of the United States,” pursuant to section 407 of the Act;

For Pakistan, a waiver as required in the “important national interest of the United States,” pursuant to section 407 of the Act;

For Saudi Arabia, a waiver as required in the “important national interest of the United States,” pursuant to section 407 of the Act;

For Tajikistan, a waiver as required in the “important national interest of the United States,” pursuant to section 407 of the Act; and

For Turkmenistan, a waiver as required in the “important national interest of the United States,” pursuant to section 407 of the Act.

In addition, the Secretary of State has designated the following countries as “special watch list” countries for engaging in or tolerating severe violations of religious freedom: Comoros, Cuba, Nicaragua, and Russia.

The Secretary of State’s designation of “entities of particular concern” for

religious freedom violations. Pursuant to Section 408(a) of the Act, notice is hereby given that, on December 2, 2020, the Secretary of State, under authority delegated by the President, has designated each of the following as an “entity of particular concern” under section 301 of the Frank R. Wolf International Religious Freedom Act of 2016 (Pub. L. 114–281), for having engaged in particularly severe violations of religious freedom: Al-Shabaab, al-Qa’ida, Boko Haram, Hayat Tahrir al-Sham, the Houthis, ISIS, ISIS-Greater Sahara, ISIS-West Africa, Jamaat Nasr al-Islam wal Muslimin, and the Taliban.

**FOR FURTHER INFORMATION CONTACT:** Peter Burns, Office of International Religious Freedom, U.S. Department of State, (phone: 202–647–3865 or email: [BurnsPI@state.gov](mailto:BurnsPI@state.gov)).

**Zachary A. Parker,**

*Director, Office of Directives Management, Department of State.*

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**BILLING CODE 4710–18–P**

## DEPARTMENT OF STATE

[Public Notice: 11257]

### 60-Day Notice of Proposed Information Collection: Foreign Diplomatic Services Applications (FDSA)

**ACTION:** Notice of request for public comment.

**SUMMARY:** The Department of State is seeking Office of Management and Budget (OMB) approval for the information collection described below. In accordance with the Paperwork Reduction Act of 1995, we are requesting comments on this collection from all interested individuals and organizations. The purpose of this notice is to allow 60 days for public comment preceding submission of the collection to OMB.

**DATES:** The Department will accept comments from the public up to March 15, 2021.

**ADDRESSES:** You may submit comments by any of the following methods:

- **Web:** Persons with access to the internet may comment on this notice by going to [www.Regulations.gov](http://www.Regulations.gov). You can search for the document by entering “Docket Number: DOS–2020–0049” in the Search field. Then click the “Comment Now” button and complete the comment form.

- **Email:** [OFMinfo@state.gov](mailto:OFMinfo@state.gov).
- **Regular Mail:** Send written comments to 2201 C St. NW, Washington, DC 20520; 3507

International Place NW, Washington, DC 20008.

You must include the DS form number (if applicable), information collection title, and the OMB control number in any correspondence.

**FOR FURTHER INFORMATION CONTACT:** Direct requests for additional information regarding the collection listed in this notice, including requests for copies of the proposed collection instrument and supporting documents, to Timothy R. Johnson at 3507 International Place NW, Washington, DC 20008, who may be reached on 202–895–3556 or at [JohnsonTR@state.gov](mailto:JohnsonTR@state.gov).

### SUPPLEMENTARY INFORMATION:

- **Title of Information Collection:** Foreign Diplomatic Services Applications (FDSA).
- **OMB Control Number:** 1405–0105.
- **Type of Request:** Revision of a Currently Approved Collection.
- **Originating Office:** M/OFM.
- **Form Number:** DS–98, DS–99, DS–100, DS–101, DS–102, DS–104, DS–1504, DS–1972D, DS–1972T, DS–2003, DS–2004, DS–2005, DS–2006, DS–2008, DS–4139, DS–4140, DS–4284, DS–4285, DS–4298, DS–4299, DS–7675.

- **Respondents:** Foreign Mission Community.
- **Estimated Number of Respondents:** 79,095.
- **Estimated Number of Responses:** 79,095.
- **Average Time per Response:** 13 minutes.
- **Total Estimated Burden Time:** 18,200 hours annually.
- **Frequency:** For each specific event; annually.
- **Obligation to Respond:** Mandatory and/or Required to Obtain or Retain a Benefit.

We are soliciting public comments to permit the Department to:

- Evaluate whether the proposed information collection is necessary for the proper functions of the Department.
- Evaluate the accuracy of our estimate of the time and cost burden for this proposed collection, including the validity of the methodology and assumptions used.
- Enhance the quality, utility, and clarity of the information to be collected.

- Minimize the reporting burden on those who are to respond, including the use of automated collection techniques or other forms of information technology.

Please note that comments submitted in response to this Notice are public record. Before including any detailed personal information, you should be aware that your comments as submitted,