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period for this class of communication has expired, the document is no longer needed and, in most cases, has been superseded by a new request for the next fiscal year or time period.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:

- AL 1999–02, “Operating Reactor Licensing Action Estimates,” June 3, 1999 (ADAMS Accession No. ML031110137);
- RIS 2001–08, “Operating Reactor Licensing Action Estimates,” April 2, 2001 (ADAMS Accession No. ML010880474);
- RIS 2014–13, “Planned Licensing Action Submittals for all Power Reactor Licensee,” 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 2010–03, “Licensing Submittal Information for Small Modular Reactor Designs,” February 25, 2010 (ADAMS Accession No. ML100260855);
- RIS 2000–20, “Importance of Industry Providing NRC Advance Notice of Intent to Pursue License Renewal,” November 14, 2000 (ADAMS Accession No. ML003752145); and

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 Generic Communications Withdrawn Because the Information Is Superseded, Out-Of-Date, No Longer Needed, or Being Provided to Interested Stakeholders in a Different Manner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and Status on Staff Reviews on the NRC’s Web site,” dated May 22, 2002 (ADAMS Accession No. ML012760489), is withdrawn because this RIS informed industry that the publication of NUREG–0390, “Topical Report Review Status,” was being discontinued and all information contained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 This RIS is being withdrawn because the information within the NUREG has been replaced by technological innovations and is available electronically.

- The class of communications in reference to occupational dose or dose equivalent are withdrawn because the information contained within each RIS has been consolidated into the guidance in Regulatory Guide 8.40, “Methods for Measuring Effective Dose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

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 AND EXCHANGE COMMISSION


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") and Rule 19b–4, 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 Act and Rule 19b–4(i)(4) thereunder. 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") and the DTC Underwriting Service Guide ("Guide") 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").

II. 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.

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 DTC, that evidences that the Older Issue meets DTC's requirements for Securities to become and remain eligible for DTC services as set forth in the OA ("Eligibility Requirements"). 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. 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-asset-services/underwriting/underwriting-service-guide.pdf (providing background and links to additional information on UW SOURCE).

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

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 indicated that its 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.6

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 DTC that evidences that the Older Issue meets DTC’s requirements for Securities to become and remain eligible for DTC services as set forth in the OA (“Eligibility Requirements”).7 The Older Issue Eligibility Request must at a minimum include a questionnaire (“Older

6 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-asset-services/underwriting/underwriting-service-guide.pdf (providing background and links to additional information on UW SOURCE).

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

8 See OA, supra note 5, at 2–13 (for DTC’s eligibility criteria).