

TABLE 1—ESTIMATED BURDEN TO SURVEY, INTERVIEW, AND FOCUS GROUP PARTICIPANTS—Continued

Type of collection	Anticipated responses (# of persons)	Estimated annual burden (in hours)	Estimated annual burden (in dollars)
PI Semistructured Interview .....	28	28	1,102.36
Faculty Semistructured Interview .....	28	14	551.18
Student Focus Group .....	56	56	1,217.00
Total .....	77,936	19,622	578,887.41

Dated: August 29, 2017.

**Suzanne H. Plimpton,**

*Reports Clearance Officer, National Science Foundation.*

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## NUCLEAR REGULATORY COMMISSION

### Advisory Committee on Reactor Safeguards; Notice of Meeting

In accordance with the purposes of Sections 29 and 182b of the Atomic Energy Act (42 U.S.C. 2039, 2232b), the Advisory Committee on Reactor Safeguards (ACRS) will hold a meeting September 7–8, 2017, 11545 Rockville Pike, Rockville, Maryland 20852.

#### Thursday, September 7, 2017, Conference Room T-2B1, 11545 Rockville Pike, Rockville, Maryland 20852

*8:30 a.m.–8:35 a.m.: Opening Remarks by the ACRS Chairman (Open)*—The ACRS Chairman will make opening remarks regarding the conduct of the meeting.

*8:35 a.m.–11:00 a.m.: Advanced Power Reactor 1400 (APR1400) (Open/Closed)*—The Committee will hear briefings by and discussion with representatives of the NRC staff and Korea Hydro & Nuclear Power regarding selected chapters (7 and 18) of the safety evaluation associated with the APR1400 Design Certification. [NOTE: A portion of this session may be closed in order to discuss and protect information designated as proprietary, pursuant to 5 U.S.C. 552b(c)(4)].

*11:00 a.m.–12:00 p.m.: Preparation for ACRS Meeting with Commission (Open)*—The Committee will hold a discussion of topics for the meeting in October.

*1:00 p.m.–6:00 p.m.: Preparation of ACRS Reports (Open/Closed)*—The Committee will discuss proposed ACRS reports on APR1400. [NOTE: A portion of this session may be closed in order to discuss and protect information

designated as proprietary, pursuant to 5 U.S.C. 552b(c)(4)].

#### Friday, September 8, 2017, Conference Room T-2B1, 11545 Rockville Pike, Rockville, Maryland 20852

*8:30 a.m.–10:00 a.m.: Future ACRS Activities/Report of the Planning and Procedures Subcommittee and Reconciliation of ACRS Comments and Recommendations (Open/Closed)*—The Committee will discuss the recommendations of the Planning and Procedures Subcommittee regarding items proposed for consideration by the Full Committee during future ACRS Meetings, and matters related to the conduct of ACRS business, including anticipated workload and member assignments. The Committee will discuss the responses from the NRC Executive Director for Operations to comments and recommendations included in recent ACRS reports and letters. [NOTE: A portion of this meeting may be closed pursuant to 5 U.S.C. 552b(c)(2) and (6) to discuss organizational and personnel matters that relate solely to internal personnel rules and practices of the ACRS, and information the release of which would constitute a clearly unwarranted invasion of personal privacy].

*10:15 a.m.–11:15 a.m.: Assessment of the Quality of Selected NRC Research Projects (Open)*—The Committee will discuss the assessment of the quality of the project on Validation of Computational Fluid Dynamics Methods Using Prototypic Light Water Reactor Spent Fuel Assembly Thermal Hydraulic Data.

*11:15 a.m.–12:00 p.m.: Preparation of ACRS Reports (Open/Closed)*—The Committee will continue its discussion of proposed ACRS reports. [NOTE: A portion of this session may be closed in order to discuss and protect information designated as proprietary, pursuant to 5 U.S.C. 552b(c)(4)].

*1:00 p.m.–6:00 p.m.: Preparation of ACRS Reports/Retreats (Open/Closed)*—The Committee will continue its discussion of proposed ACRS reports. The Committee will discuss the Working Group on Human-caused

External Events and History of ACRS. [NOTE: A portion of this session may be closed in order to discuss and protect information designated as proprietary, pursuant to 5 U.S.C. 552b(c)(4)].

Procedures for the conduct of and participation in ACRS meetings were published in the **Federal Register** on October 17, 2016 (81 FR 71543). In accordance with those procedures, oral or written views may be presented by members of the public, including representatives of the nuclear industry. Persons desiring to make oral statements should notify Quynh Nguyen, Cognizant ACRS Staff (Telephone: 301-415-5844, Email: [Quynh.Nguyen@nrc.gov](mailto:Quynh.Nguyen@nrc.gov)), 5 days before the meeting, if possible, so that appropriate arrangements can be made to allow necessary time during the meeting for such statements. In view of the possibility that the schedule for ACRS meetings may be adjusted by the Chairman as necessary to facilitate the conduct of the meeting, persons planning to attend should check with the Cognizant ACRS staff if such rescheduling would result in major inconvenience.

Thirty-five hard copies of each presentation or handout should be provided 30 minutes before the meeting. In addition, one electronic copy of each presentation should be emailed to the Cognizant ACRS Staff one day before meeting. If an electronic copy cannot be provided within this timeframe, presenters should provide the Cognizant ACRS Staff with a CD containing each presentation at least 30 minutes before the meeting.

In accordance with Subsection 10(d) of Public Law 92-463 and 5 U.S.C. 552b(c), certain portions of this meeting may be closed, as specifically noted above. Use of still, motion picture, and television cameras during the meeting may be limited to selected portions of the meeting as determined by the Chairman. Electronic recordings will be permitted only during the open portions of the meeting.

ACRS meeting agendas, meeting transcripts, and letter reports are available through the NRC Public Document Room at [pd.resource@nrc.gov](mailto:pd.resource@nrc.gov)

nrc.gov, or by calling the PDR at 1-800-397-4209, or from the Publicly Available Records System (PARS) component of NRC's document system (ADAMS) which is accessible from the NRC Web site at <http://www.nrc.gov/reading-rm/adams.html> or <http://www.nrc.gov/reading-rm/doc-collections/ACRS/>.

Video teleconferencing service is available for observing open sessions of ACRS meetings. Those wishing to use this service should contact Mr. Theron Brown, ACRS Audio Visual Technician (301-415-8066), between 7:30 a.m. and 3:45 p.m. (ET), at least 10 days before the meeting to ensure the availability of this service. Individuals or organizations requesting this service will be responsible for telephone line charges and for providing the equipment and facilities that they use to establish the video teleconferencing link. The availability of video teleconferencing services is not guaranteed.

Dated at Rockville, Maryland, this 28th day of August, 2017.

For the Nuclear Regulatory Commission.

**Andrew L. Bates,**

*Advisory Committee Management Officer.*

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## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-81488; File No. SR-FINRA-2017-028]

### Self-Regulatory Organizations; Financial Industry Regulatory Authority, Inc.; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Implement a New Electronic Form 211

August 28, 2017.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("SEA" or "Act")<sup>1</sup> and Rule 19b-4 thereunder,<sup>2</sup> notice is hereby given that on August 24, 2017, Financial Industry Regulatory Authority, Inc. ("FINRA") filed with the Securities and Exchange Commission ("SEC" or "Commission") the proposed rule change as described in Items I, II, and III below, which Items have been prepared by FINRA. FINRA has designated the proposed rule change as constituting a "non-controversial" rule change under paragraph (f)(6) of Rule 19b-4 under the Act,<sup>3</sup> which renders the proposal effective upon receipt of

this filing by the Commission. 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

FINRA is proposing a rule change relating to members' filing obligations under FINRA Rule 6432 (Compliance with the Information Requirements of SEA Rule 15c2-11). The proposal implements a new electronic Form 211 in place of the current paper form.

The proposed rule change does not make any changes to the text of FINRA rules.

The text of the proposed rule change is available on FINRA's Web site at <http://www.finra.org>, at the principal office of FINRA 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, FINRA 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. FINRA 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

SEA Rule 15c2-11 generally prohibits a broker-dealer from publishing any quotation for a security not listed or traded on a national securities exchange, or directly or indirectly, submitting any such quotation for publication, in any quotation medium,<sup>4</sup> unless it has gathered and reviewed specified information about the issuer and security that is the subject of the quotation and has a reasonable basis under the circumstances for believing that such information is accurate in all material respects and obtained from a reliable source. The information requirements applicable to a security

under SEA Rule 15c2-11 differ depending on the characteristics of the issuer and the security being quoted.

FINRA Rule 6432 (Compliance with the Information Requirements of SEA Rule 15c2-11) facilitates member compliance with SEA Rule 15c2-11 by prescribing the method by which member firms must demonstrate to FINRA compliance with SEA Rule 15c2-11.<sup>5</sup> Rule 6432 generally provides that no member shall initiate or resume quotations in a non-exchange-listed security unless the member demonstrates compliance by making a filing with, and in the form required by, FINRA ("Form 211"). FINRA currently requires members to comply with Rule 6432 by submitting a paper Form 211, which, pursuant to this filing, will be replaced with the proposed electronic Form 211. Form 211 is designed to gather pertinent information regarding the subject issuer and security, the member's knowledge of and relationship with the issuer, and the member's intended quotation activities with respect to the subject security. FINRA currently administers the Form 211 manually—in paper form—and members transmit the form to FINRA via mail, email, or fax.

FINRA proposes to transition to an electronic Form 211, which would be accessible to member firms through FINRA's Firm Gateway.<sup>6</sup> The electronic Form 211 generally solicits the same information currently requested in the paper form<sup>7</sup> and, in addition to a cover page, contains five sections covering: (1) Issuer and security information; (2) information required pursuant to SEA Rule 15c2-11(a)(1), (a)(2), (a)(3), (a)(4) or (a)(5), as applicable; (3) information required pursuant to paragraphs (b)(1) through (b)(3) of SEA Rule 15c2-11; (4)

<sup>5</sup> For purposes of Rule 6432, the term "non-exchange-listed security" means any equity security, other than a Restricted Equity Security (defined in FINRA Rule 6420(k)), that is not traded on any national securities exchange. See Rule 6432(e).

<sup>6</sup> The Firm Gateway is a single point of service that allows members to quickly interact with FINRA. The Firm Gateway provides consolidated access to regulatory applications and filings, and FINRA's electronic billing system; one-click quick access to common tasks, useful resources and key firm information; an at-a-glance view of important filing dates, tasks and events; and centralized FINRA Information Requests. The applications and filings that firms can access through the Firm Gateway include: Web CRD, IARD, OATS, Report Center and virtually all electronic regulatory filing applications, including FOCUS, Firm Profile, FINRA Contact System, and Rule 4530 Customer Complaints.

<sup>7</sup> A copy of the proposed electronic Form 211 is attached as Exhibit 3.

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

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

<sup>3</sup> 17 CFR 240.19b-4(f)(6).

<sup>4</sup> Rule 15c2-11 defines "quotation medium" as any "interdealer quotation system" or any publication or electronic communications network or other device which is used by brokers or dealers to make known to others their interest in transactions in any security, including offers to buy or sell at a stated price or otherwise, or invitations of offers to buy or sell."