

SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0104]

Agency Information Collection Activities; Proposed Collection; Comment Request; Extension: Form 3—Initial Statement of Beneficial Ownership of Securities

Upon Written Request, Copies Available From: Securities and Exchange Commission, Office of FOIA Services, 100 F Street NE, Washington, DC 20549–2736

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”) is soliciting comments on the collections of information summarized below. The Commission also is requesting approval from OMB to designate this existing collection of information (OMB Control No. 3235–0104) as a “common form” for purposes of PRA submissions¹ because the Board of Governors of the Federal Reserve System uses this information collection (under OMB Control No. 7100–0091). The Commission plans to submit this existing collection of information to the Office of Management and Budget for extension and approval.

Congress enacted Section 16 of the Securities Exchange Act of 1934 (“Exchange Act”) to address insider trading. Pursuant to Section 16(a), every person who owns more than ten percent of any class of equity security (other than an exempted security) which is registered under Section 12 of the Exchange Act, or who is a director or an officer of the issuer of such security (collectively “reporting persons”) are

¹ See ROCIS PRA Module User Guide v.8.2, at 110–111 (Mar. 2024), available at <https://www.rocis.gov/rocis/viewResources.do> (“A ‘common form’ is an information collection that can be used by two or more agencies, or government-wide, for the same purpose. The Common Forms Module [in ROCIS] allows a ‘host’ agency to obtain [OMB] approval of an information collection for use by one or more ‘using’ agencies. After OMB grants approval, any prospective using agency that seeks to collect identical information for the same purpose can obtain approval to use the ‘common form’ by providing its agency-specific information to OMB (e.g., burden estimates and number of respondents). The host agency will indicate in the **Federal Register** notices that it is requesting approval of a common form and, if known, identify other agencies that may use the information collection. Both the **Federal Register** notices and the ICR should account only for the burden imposed by the host agency’s use of the common form. Once the host agency has received approval from OMB, any agency will be able to request OMB approval for its use of the common form in ROCIS by providing its agency specific information to OMB (e.g., burden estimates and number of respondents). Additional public notice by those agencies will not be required.”).

required to file statements disclosing their ownership of the issuer’s equity securities. The Commission adopted Form 3 (17 CFR 249.103) pursuant to Section 16. Form 3 requires disclosure of certain information about a reporting person and their beneficial ownership of the relevant class of securities. We estimate that Form 3 takes approximately 0.5 hours per response and is filed once per year by approximately 15,371 respondents, for a total of approximately 15,371 responses annually.² We estimate that 100% of the 0.5 hours per response is carried internally by the respondent for annual reporting burden of 7,686 hours (0.50 hours per response × 15,371 responses) and \$0 of estimated annual cost burden.

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 OMB control number.

Written comments are invited on: (a) whether this proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (b) the accuracy of the agency’s estimate of the burden imposed by the collection of information; (c) ways to enhance the quality, utility, and clarity of the information collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Please direct your written comments on this 60-Day Collection Notice to Austin Gerig, Director/Chief Data Officer, Securities and Exchange Commission, c/o Tanya Ruttenberg via email to PaperworkReductionAct@sec.gov by June 15, 2026. There will be a second opportunity to comment on this SEC request following the **Federal Register** publishing a 30-Day Submission Notice.

Dated: April 10, 2026.

Sherry R. Haywood,

Assistant Secretary.

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² We calculated this estimate by adding (A) the average number of Form 3 filings annually for the period 2023 through 2025 (12,404 responses annually) to (B) the Commission’s estimated increase in the annual number of Form 3 filings based on its recent amendments to implement the Holding Foreign Insiders Accountable Act (2,967 responses). See *Holding Foreign Insiders Accountable Act Disclosure*, Release No. 34–104903 (Feb. 27, 2026) [91 FR 10320 (Mar. 3, 2026)].

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–105196; File No. SR–CBOE–2026–005]

Self-Regulatory Organizations; Cboe Exchange, Inc.; Notice of Filing of Amendment No. 3 and Order Granting Accelerated Approval of a Proposed Rule Change, as Modified and Superseded by Amendment No. 3, To Amend Rules 4.13 and 5.1 To Permit Options on the Dow Jones Industrial Average Index To Be P.M.-Settled

April 10, 2026.

I. Introduction

On January 8, 2026, Cboe Exchange, Inc. (“Cboe” or “Exchange”) filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b–4 thereunder,² a proposed rule change to permit options on the Dow Jones Industrial Average index (“DJX” or “DJX index”) to be P.M.-settled. The proposed rule change was published for comment in the **Federal Register** on January 26, 2026.³ On February 19, 2026, the Exchange filed Amendment No. 1 to the proposed rule change, which amended and superseded the proposed rule change as originally filed.⁴ On March 5, 2026, the Exchange filed Amendment No. 2 to the proposed rule change, and on March 6, 2026, the Exchange withdrew Amendment No. 2. On March 6, 2026, the Exchange filed Amendment No. 3 to the proposed rule change, which amended and superseded Amendment No. 1 in its entirety.⁵ On March 9, 2026, the Commission designated a longer period within which to take action on the proposed rule change.⁶ The Commission received no comments on the proposed rule change. The Commission is publishing this Notice and Order to solicit comment on Amendment No. 3 in Sections II and III below, which sections are being published verbatim as filed by the

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b–4.

³ See Securities Exchange Act Release No. 104644 (Jan. 21, 2026), 91 FR 3284.

⁴ The full text of Amendment No. 1 is available on the Commission’s website at: <https://www.sec.gov/comments/sr-cboe-2026-005/sr-cboe2026005-706448-2224034.pdf>.

⁵ The full text of Amendment No. 3 is available on the Commission’s website at: <https://www.sec.gov/comments/sr-cboe-2026-005/sr-cboe2026005-719767-2253315.pdf>.

⁶ See Securities Exchange Act Release No. 104953, 91 FR 12251 (Mar. 12, 2026). The Commission designated April 26, 2006, as the date by which Commission shall approve, disapprove, or institute proceedings to determine whether to disapprove the proposed rule change.