• Send an email to *rule-comments@sec.gov.* Please include file number SR–ICC–2026–006 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–ICC–2026–006. 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 of submission. The Commission will post all comments on the Commission's internet website (*https://www.sec.gov/rules-regulations/self-regulatory-organization-rulemaking*). Copies of the filing will be available for inspection and copying at the principal office of ICE Clear Credit and on ICE Clear Credit's website at *https://www.ice.com/clear-credit/regulation.*

Do not include personal identifiable information in submissions; you should submit only information that you wish to make available publicly. We may redact in part or withhold entirely from publication submitted material that is obscene or subject to copyright protection. All submissions should refer to file number SR–ICC–2026–006 and should be submitted on or before August 11, 2026.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.[28]

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–14626 Filed 7–20–26; 8:45 am]

BILLING CODE 8011–01–P

[28] 17 CFR 200.30–3(a)(12).

SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0179]

Agency Information Collection Activities; Proposed Collection; Comment Request; Extension: Rule 31a–2

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 (SEC or ''Commission'') is soliciting comments on the proposed collection of information described below.

Section 31(a)(1) of the Investment Company Act of 1940 (the ''Act'') [1] requires registered investment companies (''funds'') and certain underwriters, broker-dealers, investment advisers, and depositors to maintain and preserve records as prescribed by Commission rules.[2] Rule 31a–1 under the Act specifies the books and records that each of these entities must maintain.[3] Rule 31a–2 under the Act specifies the time periods that entities must retain certain books and records, including those required to be maintained under rule 31a–1.[4]

Retention of records, as required by the rule, is necessary to ensure access to material business and financial information about funds and certain related entities. Commission staff periodically inspect the operations of funds to ensure they are in compliance with the Act and regulations under the Act. Due to the limits on the Commission's resources, however, each fund may only be inspected at intervals of several years. In addition, the prosecution of persons who have engaged in certain violations of the federal securities laws may not be limited by timing restrictions. For these reasons, Commission staff often need information relating to events or transactions that occurred years ago. Without the requirement to preserve books, records, and other documents, Commission staff would have difficulty determining whether the fund was in compliance with the law in such areas as valuation of its portfolio securities, computation of the prices investors paid, and, when purchasing and selling fund shares, types and amounts of expenses the fund incurred, kinds of investments the fund purchased, actions of affiliated persons, or whether the fund had engaged in any illegal or fraudulent activities.

Rule 31a–2 requires every fund to preserve permanently, and in an easily accessible place for the first two years, all books and records required under rule 31a–1(b)(1)–(4).[5] Every fund must preserve for at least six years, and in an easily accessible place for the first two years: all books and records required under rule 31a–1(b)(5)–(12); [6] all vouchers, memoranda, correspondence, checkbooks, bank statements, canceled checks, cash reconciliations, canceled stock certificates, and all schedules evidencing and supporting each computation of net asset value of fund shares, including schedules evidencing and supporting each computation of an adjustment to net asset value based on swing pricing policies and procedures; all schedules evidencing and supporting each computation of a liquidity fee by a money market fund pursuant to rule 2a–7(c)(2); [7] other documents required to be maintained by rule 31a–1(a) and not enumerated in rule 31a–1(b); any advertisement, pamphlet, circular, form letter, or other sales literature addressed or intended for distribution to prospective investors; [8] any record of the initial determination that a director is not an interested person of the fund, and each subsequent determination that the director is not an interested person of the fund; [9] any materials used by the disinterested directors of a fund to determine that a person who is acting as legal counsel to those directors is an independent legal counsel; [10] and any documents or other written information considered by the directors of the fund pursuant to section 15(c) of the Act in approving the terms or renewal of a contract or agreement between the fund and an investment advisor.[11] Every underwriter, broker, or dealer that is a majority-owned subsidiary of a fund must preserve records required to be preserved by brokers and dealers under rules adopted under section 17 of the Securities Exchange Act of 1934 (the ''Exchange Act'') [12] for the periods

[1] 15 U.S.C. 80a1 *et seq.*

[2] 15 U.S.C. 80a30(a)(1).

[3] 17 CFR 270.31a1.

[4] 17 CFR 270.31a2.

[5] 17 CFR 270.31a2(a)(1). These include, among other records, journals detailing daily purchases and sales of securities; general and auxiliary ledgers reflecting all assets, liability, reserve, capital, income, and expense accounts; separate ledgers reflecting for each portfolio security as of the trade date all ''long'' and ''short'' positions carried by the fund for its own account; and corporate charters, certificates of incorporation, by-laws, and minute books. 17 CFR 270.31a–1(b)(1)–(4).

[6] 17 CFR 270.31a2(a)(2). These include, among other records, records of each brokerage order given in connection with purchases and sales of securities by the fund; records of all other portfolio purchases or sales; records of all puts, calls, spreads, straddles, and other options in which the fund has an interest, which it has granted, or which it has guaranteed; records of proof of money balances in all ledger accounts; files of all advisory material received from the investment adviser; and memoranda identifying persons, committees, or groups authorizing the purchase or sale of securities for the fund. 17 CFR 270.31a1(b)(5)–(12).

[7] *Id. See also* 17 CFR 270.2a–7(c)(2).

[8] 17 CFR 270.31a2(a)(3).

[9] 17 CFR 270.31a2(a)(4).

[10] 17 CFR 270.31a2(a)(5).

[11] 17 CFR 270.31a2(a)(6). Section 15 of the Act requires that fund directors, including a majority of independent directors, annually approve the fund's advisory contract and that the directors first obtain from the adviser the information reasonably necessary to evaluate the contract. The information request requirement in section 15 provides fund directors, including independent directors, a tool for obtaining the information they need to represent shareholder interests. 15 U.S.C. 80a–15(c).

[12] 15 U.S.C. 78q.

established in those rules.[13] Every depositor of a fund and every principal underwriter of a fund (other than a closed-end fund) must preserve for at least six years records required to be maintained by brokers and dealers under rules adopted under section 17 of the Exchange Act to the extent the records are necessary or appropriate to record the entity's transactions with the fund.[14] Every investment adviser that is a majority-owned subsidiary of a fund must preserve the records required to be preserved by investment advisers under rules adopted under section 204 of the Investment Advisers Act of 1940 (the ''Investment Advisers Act'') [15] for the periods specified in those rules.[16] Every investment adviser that is not a majority-owned subsidiary of a fund must preserve for at least six years records required to be maintained by registered investment advisers under rules adopted under section 204 of the Investment Advisers Act to the extent the records are necessary or appropriate to reflect the adviser's transactions with the fund.[17] Compliance with rule 31a–2 is mandatory.

We estimate that approximately 2,741 funds are required to comply with rule 31a–2 annually. Each fund is estimated to spend 221 hours per year preserving the required books and records, at a monetized cost burden of $49,283 per fund. The total annual burden is approximately 605,761 burden hours and total annual time costs of approximately $135,084,703. The Commission estimates that funds incur about $40,602 in external cost burden each year, resulting in an aggregate external cost burden of approximately $111,290,082. 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 SEC, including whether the information will have practical utility; (b) the accuracy of the SEC's estimate of the burden imposed by the proposed collection of information, including the validity of the methodology and the assumptions used; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated, electronic 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 September 21, 2026. There will be a second opportunity to comment on this SEC request following the **Federal Register** publishing a 30-Day Submission Notice.

[13] 17 CFR 270.31a2(b).

[14] 17 CFR 270.31a2(c).

[15] 15 U.S.C. 80b4.

[16] 17 CFR 270.31a2(d).

[17] 17 CFR 270.31a2(e).

Dated: July 16, 2026.

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–14632 Filed 7–20–26; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0151]

Agency Information Collection Activities; Proposed Collection; Comment Request; Extension: Rule 17Ac3–1 and Form TA–W

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 (''SEC'' or ''Commission'') is soliciting comments on the proposed collection of information provided for in Rule 17Ac3–1(a) (17 CFR 240.17Ac3–1(a)) and Form TA–W (17 CFR 249b.101), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*).

Section 17A of the Exchange Act [1] generally requires transfer agents performing any transfer agent function with respect to any security registered under Section 12 of the Exchange Act [2] or issued by certain insurance or investment companies to register with an appropriate regulatory agency (''ARA'') as defined in Section 3(a)(34)(B) of the Exchange Act.[3] Section 17A(c)(4)(B) of the Exchange Act [4] authorizes transfer agents registered with an ARA to withdraw from registration by filing with the ARA a written notice of withdrawal and by agreeing to such terms and conditions as the ARA deems necessary or appropriate in the public interest, for the protection of investors, or in furtherance of the purposes of Section 17A.

[1] 15 U.S.C. 78q–1.

[2] 15 U.S.C. 78l.

[3] 15 U.S.C. 78c(a)(34)(B).

[4] 15 U.S.C. 78q–1(c)(4)(B).

In order to implement Section 17A(c)(4)(B), the Commission promulgated Rule 17Ac3–1(a) and accompanying Form TA–W (''the form'').[5] Rule 17Ac3–1(a) provides that notice of withdrawal from registration as a transfer agent with the Commission shall be filed on Form TA–W. The Commission later amended Rule 17Ac3–1(a) and accompanying Form TA–W to require that the form be filed in electronic format on EDGAR.[6] Form TA–W requires the withdrawing transfer agent to provide the Commission with certain information, including: (1) the locations where transfer agent activities are or were performed; (2) the reasons for ceasing the performance of such activities; (3) disclosure of unsatisfied judgments or liens; and (4) information regarding successor transfer agents.

From 2023 through 2025, respondents annually filed approximately 12 Forms TA–W with the Commission. The Commission therefore estimates that 12 transfer agents are expected to rely on Rule 17Ac3–1 and Form TA–W annually over the subsequent 3 years. The Commission estimates that it takes approximately 30 minutes per transfer agent to complete a Form TA–W. The estimated aggregate annual time burden is thus approximately 6 hours (12 filings × 0.5 hours), which comprises a one-time reporting burden. The estimated internal labor cost of compliance per filing is approximately $72 (0.5 hours × $144 average hourly rate for a general office clerk).[7] The estimated aggregate

[5] Exchange Act Release No. 13914 (Sep. 1, 1977), 42 FR 44983 (Sep. 8, 1977); 17 CFR 240.17Ac3–1 and 17 CFR 249b.101—Form TA–W.

[6] Exchange Act Release No. 54864 (Dec. 4, 2007), 71 FR 74698 (Dec. 12, 2006).

[7] For purposes of calculating the dollar cost burdens associated with respondents using Form TA–W, the Commission relies on the Occupational Employment and Wage Statistics (''OEWS'') from the U.S. Bureau of Labor Statistics (''BLS''). *See Occupational Employment and Wage Classification,* U.S. Bureau of Labor Statistics, *https://www.bls.gov/oes/; see also Standard Occupational Classification, U.S. Bureau of Labor Statistics, https://www.bls.gov/soc/* (describing occupational classification system used by BLS); **Exec. Off. Of the President, Off. Of Mgmt.** & Budget, North American Industrial Classification System (2022), *available at https://www.census.gov/naics/reference_files_tools/2022_NAICS_Manual.pdf* (describing the industry adjusted for changes in the seasonally adjusted employment cost index for private wages and salaries between the data reference period and when the data are released by BLS. *See Employment Cost Index, U.S. Bureau of Labor Statistics, https://www.bls.gov/eci/.* The adjusted mean hourly wage is then multiplied by a factor that accounts for nonwage costs borne by employers, such as bonuses, benefits, and overhead.

Continued