Commission a national market system (''NMS'') plan to govern the creation, implementation, and maintenance of a consolidated audit trail (''CAT'') and Central Repository for the collection of information for NMS securities. On February 27, 2015, the Participants submitted the CAT NMS Plan to the Commission.[1] On April 27, 2016, the Commission published a notice soliciting comments from the public (''CAT NMS Plan Notice'').[2] On November 15, 2016, the Commission approved the CAT NMS Plan (''CAT NMS Plan Order''), including the information collections proposed in the CAT NMS Plan Notice, and certain additional information collections.[3]

Since 2017 the Commission has approved several amendments to the CAT NMS Plan and issued exemptive relief from its requirements. Some of these amendments and/or exemptive relief orders have resulted in data being removed from the CAT. For instance, the Commission has issued exemptive relief from and approved amendments to the CAT NMS Plan to enable the SROs to remove customer and account-level information from the CAT.[4] The Commission has also issued exemptive relief from and approved amendments to the CAT NMS Plan to enable the SROs to shorten the retention period for the data collected by the CAT.[5]

This Notice addresses both the ongoing information collection requirements noted above, the remaining information collection requirements contained in the CAT NMS Plan Notice, and certain additional information collections of the CAT NMS Plan Order, which includes an assessment of the projected impact of any Material Systems Change on the Maximum Error Rate, prior to the implementation of such Material Systems Change from the Participants.[6]

The CAT NMS Plan, which governs the CAT, improves the quality of the data available to regulators in four areas that affect the ultimate effectiveness of core regulatory efforts—completeness, accuracy, accessibility and timeliness.[7] The improvements in these data qualities substantially improve regulators' ability to perform analysis and reconstruction of market events, and market analysis and research to inform policy decisions, as well as perform regulatory activities, in particular market surveillance, examinations, investigations, and other enforcement functions.

The Commission estimates that 1,199 respondents [8] will require an aggregate total of approximately 4,122,488 hours per year to comply with the collection of information. The Commission further estimates that the aggregate cost to comply with the collection of information will be approximately $384,727,051 per year.

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.

The public may view and comment on this information collection request at: *https://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=202607-3235-010* or email comment to *MBX.OMB.OIRA.SEC_desk_officer@omb.eop.gov* within 30 days of the day after publication of this notice, by October 26, 2026.

Dated: September 22, 2026.

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–19620 Filed 9–24–26; 8:45 am]

BILLING CODE 8011–01–P

---

[1] *See* Letter from Participants to Brent J. Fields, Secretary, Commission, dated February 27, 2015. The Participants filed the CAT NMS Plan on September 30, 2014. *See* Letter from the Participants to Brent J. Fields, Secretary, Commission, dated September 30, 2014. The CAT NMS Plan filed on February 27, 2015, was an amendment to and replacement of the Initial CAT NMS Plan (the ''Amended and Restated CAT NMS Plan''). On December 24, 2015, the Participants submitted an Amendment to the Amended and Restated CAT NMS Plan. *See* Letter from Participants to Brent J. Fields, Secretary, Commission, dated December 23, 2015 (the ''Amendment''). On February 9, 2016, the Participants filed with the Commission an identical, but unmarked, version of the Amended and Restated CAT NMS Plan, dated February 27, 2015, as modified by the Amendment, as well as a copy of the request for proposal issued by the Participants to solicit Bids from parties interested in serving as the Plan Processor for the consolidated audit trail. Unless the context otherwise requires, the ''CAT NMS Plan'' shall refer to the Amended and Restated CAT NMS Plan, as modified by the Amendment.

[2] *See* Securities Exchange Act Release No. 77724 (April 27, 2016), 81 FR 30613 (May 17, 2016). The burdens associated with the CAT NMS Plan Notice were submitted under OMB number 3235–0671 which relates to the NMS Plan required to be filed under Rule 613.

[3] *See* Securities Exchange Act Release No. 79318 (November 15, 2016), 81 FR 84696 (November 23, 2016), *available at https://www.sec.gov/rules/sro/nms/2016/34-79318.pdf* (''CAT NMS Plan Order'').

[4] *See, e.g.,* Securities Exchange Act Release No. 88393 (Mar. 17, 2020), 85 FR 16152 (Mar. 20, 2020) (the ''2020 PII Exemptive Relief Order'') (providing conditional exemptive relief from CAT NMS Plan requirements obligating the SROs to collect social security numbers (''SSNs'') and/or individual tax payer identification numbers (''ITINs''), dates of birth, and account numbers associated with natural persons); Securities Exchange Act Release No. 102386 (Feb. 10, 2025), 90 FR 9642, 9643 (Feb. 14, 2025) (the ''2025 PII Exemptive Relief Order'') (providing conditional exemptive relief from CAT NMS Plan requirements obligating the SROs to collect names, addresses, and years of birth for U.S. natural persons); Securities Exchange Act Release No. 104586 (Jan. 13, 2026), 91 FR 2164 (Jan. 16, 2026) (the ''CAIS Order'') (codifying the 2020 PII Exemptive Relief Order and the 2025 PII Exemptive Relief Order and, among other things, enabling the SROs to eliminate: (1) historical customer and account-level data, including, among other things, names, addresses, and years of birth, (2) names, addresses, and years of birth (where applicable) for foreign natural persons, for legal entities, and for authorized traders, and (3) employer identification numbers).

[5] *See, e.g.,* Securities Exchange Act Release No. 104144 (Sept. 30, 2025), FR 90 47853, 47854–55 (Oct. 2, 2025) (providing exemptive relief from certain requirements related to data storage and retention); Securities Exchange Act Release No. 105107 (Mar. 27, 2026), 91 FR 16284, 16307 (Apr. 1, 2026) (approving amendments to the CAT NMS Plan that permit the SROs to: (1) delete all CAT Data older than three years; (2) delete options market maker quotes on Listed Options older than six months; (3) delete Interim Operational Data older than 15 days; and (4) delete Options SIP Data older than six months).

[6] *Id.* at 84942. The Commission believes that one assessment would be filed annually.

[7] *See* CAT NMS Plan Order, *supra* note 3, at 45727 (discussing four ''qualities'' of trade and order data that impact the effectiveness of core Participant and Commission regulatory efforts: accuracy, completeness, accessibility, and timeliness).

[8] The Commission notes that 27 Participants (the 26 national securities exchanges and one national securities association) and 1,172 broker-dealers are subject to information collection requirements pursuant to Rule 613 and the CAT NMS Plan.

SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0151]

Agency Information Collection Activities; Submission for OMB Review; 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 submitting to the Office of Management and Budget (''OMB'') this request for Extension of 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

---

[1] 15 U.S.C. 78q–1.

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

(''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.

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 internal compliance cost per year is thus approximately $864 (12 filings × $72 per filing).

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.

The public may view and comment on this information collection request at: *https://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=202607-3235-007* or email comment to *MBX.OMB.OIRA.SEC_desk_officer@omb.eop.gov* within 30 days of the day after publication of this notice, by October 26, 2026.

Dated: September 22, 2026.

Sherry R. Haywood,

Assistant Secretary.

[FR Doc. 2026–19615 Filed 9–24–26; 8:45 am]

BILLING CODE 8011–01–P

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

[4] 15 U.S.C. 78q–1(c)(4)(B).

[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. This factor is calculated as an average over the 10 most recently available years of data of the ratio of the Bureau of Economic Analysis's annual gross output data for the North American Industry Classification System (''NAICS'') number to total annual wages across all occupations for the NAICS number in the OEWS data.

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–106465; File No. SR–NYSEARCA–2026–98]

Self-Regulatory Organizations; NYSE Arca, Inc.; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend the NYSE Arca Options Fee Schedule To Modify the Broker QCC Credit and Manual Billable Rebate Program

September 22, 2026.

Pursuant to Section 19(b)(1)[1] of the Securities Exchange Act of 1934 (''Act''),[2] and Rule 19b–4 thereunder,[3] notice is hereby given that on September 14, 2026, NYSE Arca, Inc. (''NYSE Arca'' or the ''Exchange'') filed with the Securities and Exchange Commission (the ''Commission'') the proposed rule change as described in Items I and II below, which Items have been prepared by the self-regulatory organization. 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

The Exchange proposes to amend the NYSE Arca Options Fee Schedule (''Fee Schedule'') by modifying the credit available to brokers submitting Qualified Contingent Cross (''QCC'') transactions and the Manual Billable Rebate Program that is part of the Floor Broker Fixed Cost Prepayment Incentive Program (the ''FB Prepay Program''). The Exchange proposes to implement the fee changes effective September 14, 2026. The proposed rule change is available on the Exchange's website at *www.nyse.com* and at the principal office of the Exchange.

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the self-regulatory organization 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 those statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant parts of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and the Statutory Basis for, the Proposed Rule Change

1. Purpose

The Exchange proposes to amend the NYSE Arca Options Fee Schedule (''Fee Schedule'') by modifying the credit available to brokers submitting QCC transactions and the Manual Billable Rebate Program that is part of the FB Prepay Program. The Exchange proposes to implement the fee changes effective September 14, 2026.[4]

Submitting Broker QCC Credits

The Exchange offers submitting brokers a per contract credit of $0.16 for customer vs. non-customer electronic QCC transactions, and a per contract credit of $0.22 for non-customer vs. non-customer electronic QCC

[1] 15 U.S.C. 78s(b)(1).

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

[3] 17 CFR 240.19b–4.

[4] The Exchange originally filed to amend the Fee Schedule on September 1, 2026 (SR–NYSEARCA–2026–90). SR–NYSEARCA–2026–90 was withdrawn on September 14, 2026, and replaced by this filing.