

SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235-0473]

Agency Information Collection Activities; Submission for OMB Review; Comment Request; Extension: Rule 17Ad-3(b)

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 (“PRA”) (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”) a request for extension of the proposed collection of information provided for in Rule 17Ad-3(b) (17 CFR 240.17Ad-3(b)), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*) (“Exchange Act”).

Section 17A(d)(1)(A) of the Exchange Act generally prohibits any registered transfer agent from engaging in any transfer agent activity in contravention of such rules and regulations as the Commission may prescribe as necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Exchange Act. In addition, Sections 17(a)(1) and (3) of the Exchange Act require every registered transfer agent to make reports as the Commission or other appropriate regulatory agency (“ARA”), as defined in Section 3(a)(34)(B) of the Exchange Act, prescribe by rule as necessary or appropriate in furtherance of the purposes of Section 17A of the Exchange Act.

On June 16, 1977, the Commission adopted Rules 17Ad-2(c) and (d), pursuant to Sections 2, 17, 17A, and 23(a) of the Exchange Act¹ in order to provide an early warning system to ARAs when a registered transfer agent is not meeting the performance standards set forth in the Commission’s rules.² Rules 17Ad-2(c) and (d) enable an ARA to take timely, preventive, and remedial measures to protect the public interest and investors. Similarly, the Commission also adopted Rule 17Ad-3(b) to alert issuers when their transfer agents fail to meet the minimum performance standards set forth in Rule 17Ad-3(b).³

Rule 17Ad-3(b) requires a registered transfer agent to send a copy of the written notice required pursuant to Rules 17Ad-2(c) and (d) to all the issuers for which that transfer agent acts when for two consecutive months the transfer agent has failed to turnaround at least 75% of all routine items in accordance with the requirements of Rule 17Ad-2(a) or to process at least 75% of all items in accordance with the requirements of Rule 17Ad-2(b). The transfer agent is required to send the notice within twenty business days after the close of the second month to the chief executive officer (“CEO”) of each issuer for which such registered transfer agent acts.

The Commission estimates that each year approximately two registered transfer agents send a notice of non-compliance to the Commission and their ARA pursuant to Rule 17Ad-2(c) and (d). Pursuant to Rule 17Ad-3(b), a transfer agent that has already filed a notice of non-compliance with the Commission and its ARA pursuant to Rule 17Ad-2 will only be required to send a copy of that notice to issuers it services when that transfer agent fails to turnaround 75% of all routine items or to process 75% of all items for two consecutive months. The Commission estimates that each year approximately one of the two registered transfer agents that file a notice of non-compliance with the Commission and ARA will meet the requirements of Rule 17Ad-3(b), and such transfer agent will send its issuer-clients a copy of the notice that has already been filed under Rule 17Ad-2(c) or (d). The Commission estimates that the time burden of doing so will be approximately 4 hours per year. The total estimated time burden associated with Rule 17Ad-3(b) is thus approximately 4 hours per year (1 notice per year × 4 hours per notice). The Commission estimates that the total annual internal labor cost for a transfer agent to comply with this third-party disclosure requirement is approximately \$1,320 per year (4 hours × \$330 per hour for Accountants and Auditors = \$1,320).⁴

⁴ For purposes of calculating the dollar cost burdens associated with respondents, 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

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=202608-3235-005 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 November 23, 2026.

Dated: October 20, 2026.

Sherry R. Haywood,
Assistant Secretary.

[FR Doc. 2026-21632 Filed 10-22-26; 8:45 am]

BILLING CODE 8011-01-P

SMALL BUSINESS ADMINISTRATION

Reporting and Recordkeeping Requirements Under Office of Management and Budget Review

AGENCY: U.S. Small Business Administration.

ACTION: 30-Day notice; request for comments.

SUMMARY: The Small Business Administration (SBA) will submit the information collection described below to the Office of Management and Budget (OMB) for review and clearance in accordance with the Paperwork Reduction Act of 1995, as amended, on or after the date of publication of this notice. SBA is publishing this notice to allow all interested members of the public an additional 30 days to provide comments on the collection of information.

DATES: Submit comments on or before November 23, 2026.

ADDRESSES: Written comments and recommendations for this information collection request should be sent within 30 days of publication of this notice to www.reginfo.gov/public/do/PRAMain. Find this particular information collection request by selecting “Small Business Administration”; “Currently

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.

¹ 15 U.S.C. 78b, § 78q, § 78q-1, and § 78w(a), respectively.

² See Exchange Act Release No. 13636 (Jun. 16, 1977), 42 FR 32404 (Jun. 24, 1977).

³ *Id.*

Under Review,” then select the “Only Show ICR for Public Comment” checkbox. This information collection can be identified by title and/or OMB Control Number, which are provided below.

FOR FURTHER INFORMATION CONTACT: You may obtain information including a copy of the forms and supporting documents from the Interim Agency Clearance Officer, Shauniece Carter, at (202) 205–6536, or shauniece.carter@sba.gov, or from www.reginfo.gov/public/do/PRAMain.

SUPPLEMENTARY INFORMATION: The information collected on SBA Form 480, “Size Status Declaration” is a certification of small business size status for purposes of the Small Business Investment Company (SBIC) program. This information collection is used to determine whether SBIC financial assistance is provided only to small business concerns as defined in the Small Business Investment Act of 1958, as amended, and SBA size regulations. Without this certification, businesses that exceed SBA’s size standards could benefit from program resources meant for small businesses.

Summary of Information Collection

Title: Size Status Declaration.

OMB Control Number: 3245–0009.

Form Number: Form 480.

Description of Respondents: Small Business Investment Companies and Applicants.

Estimated Number of Respondents: 1,787.

Estimated Annual Responses: 1,462.

Estimated Annual Hour Burden: 244.

Solicitation of Public Comments

SBA invites the public to submit comments, including specific and detailed suggestions on ways to improve the collection and reduce the burden on respondents. Commenters should also address (i) whether the information collection is necessary for the proper performance of SBA’s functions, including whether it has any practical utility; (ii) the accuracy of the estimated burdens; (iii) ways to enhance the quality, utility, and clarity of the information to be collected; and (iv) the use of automated collection techniques or other forms of information technology to minimize the information collection burden on those who are required to respond.

Shauniece Carter,

Interim Agency Clearance Officer.

[FR Doc. 2026–21639 Filed 10–22–26; 8:45 am]

BILLING CODE 8026–09–P

DEPARTMENT OF STATE

[Public Notice: 13135]

Privacy Act of 1974; System of Records

AGENCY: Department of State.

ACTION: Rescindment of a system of records notice.

SUMMARY: The “Board of Appellate Review Records,” State–02, system of records notice, which is being rescinded, applies to the records of the Office of the Legal Adviser Board of Appellate Review (“L–BAR”). L–BAR records included appeals of U.S. Department of State (the “Department”) determinations related to loss of U.S. nationality the denial of an application for a U.S. passport, or the revocation of a U.S. passport. State–02 contained correspondence between the appellant and their attorney at the Department, the appellant’s passport file, and copies of decisions rendered by the Board of Appellate Review. The latter two categories of records were only maintained in State–02 for the duration of the review after which they were returned to the Department’s Passport Records system of records, State–26.

DATES: The Department of State stopped maintaining the “Board of Appellate Review Records, State–02” in May 2024 following the disposition of remaining hard copy files pertaining to loss of nationality cases. All other records previously maintained in the system have been disposed of in accordance with the Department’s domestic Legacy Records Disposition Schedule for hard copy records created before 2012; specifically, Chapter 23 Legal Affairs Records, N1–059–95–11, item 10b.

ADDRESSES: Questions can be submitted by mail, or email. If mail, please write to: U.S. Department of State; Shared Knowledge Services, A/SKS; Room 4534, 2201 C St. NW, Washington, DC 20520. If email, please address the email to the Senior Agency Official for Privacy, Timothy J. Kootz, at SORN@state.gov. Please write “Board of Appellate Review Records, State–02” on the envelope or the subject line of your email.

FOR FURTHER INFORMATION CONTACT:

Timothy J. Kootz, Senior Agency Official for Privacy; U.S. Department of State; Shared Knowledge Services, A/SKS; Room 4534, 2201 C St. NW, Washington, DC 20520 or SORN@state.gov.

SUPPLEMENTARY INFORMATION: The Board of Appellate Review, previously within the Department’s Office of the Legal Adviser, was responsible for reviewing

appeals related to Department determinations concerning cases of loss of nationality or the revocation of a passport. This board was disbanded in 2008. The administrative review functions related to passport revocations and loss of nationality have since been transferred to the Bureau of Consular Affairs. Relevant System of Records Notices pertaining to these records include State–05, Overseas Citizens Services Records and Other Overseas Records, State–26, Passport Records, and State–21, Legal Case Management Records.

SYSTEM NAME AND NUMBER:

Board of Appellate Review Records, State–02.

HISTORY:

67 FR 30753.

Timothy J. Kootz,

Deputy Assistant Secretary, Shared Knowledge Services (A/SKS), U.S. Department of State.

[FR Doc. 2026–21694 Filed 10–22–26; 8:45 am]

BILLING CODE 4710–24–P

DEPARTMENT OF STATE

[Public Notice: 13151]

Privacy Act of 1974; System of Records

AGENCY: Department of State.

ACTION: Notice of a modified system of records.

SUMMARY: This system maintains information that is used to establish the U.S. nationality and identity of persons for a variety of legal purposes including, but not limited to, the adjudication of passport applications and requests for related services, social security benefits, voter eligibility, employment applications, estate settlements, and Federal and state law enforcement and counterterrorism purposes.

DATES: In accordance with 5 U.S.C. 552a(e)(4) and (11), this system of records notice is effective upon publication, with the exception of the routine uses (u), (v), and (w) that are subject to a 30-day period during which interested persons may submit comments to the Department. Please submit any comments by November 23, 2026. Unless comments are received that would require a revision, routine uses (u), (v), and (w) will become effective on November 23, 2026.

ADDRESSES: Interested parties may submit comments, identified by Department docket number DOS–2026–1156, through the Federal eRulemaking