

TABLE 1
IMPLEMENTATION OF THE GOVERNMENT SECURITIES ACT - 17 CFR Chapter IV
PAPERWORK REDUCTION SUPPORTING STATEMENT (QUESTIONS 12, 13 & 14)

ANNUAL REPORTING OR DISCLOSURE BURDEN	(1) Number of Respondents	(2) Number of Responses Per Respondent	(3) Total Annual Responses	(4) Hours Per Response	(5) Total Hours	(6) Cost Per Hour	(7) Total Cost	(8) Government Cost
Section 400.4	149	1	149	2	298	\$50	\$14,900	\$4,800
Section 400.5	47	1	47	1	47	\$50	\$2,350	\$4,800
Section 402.2c	3	1	3	5	15	\$150	\$2,250	\$200
Section 402.2(i)	3	2	6	0.5	3	\$150	\$450	\$0
Section 404.2	0	1	0	1	0	\$50	\$0	\$0
Section 404.5	4	4	16	25	400	\$65	\$26,000	\$2,000
Section 405.2	4	12	48	12	576	\$65	\$37,440	\$10,200
Section 405.2	4	2,000	8,000	0.02	160	\$65	\$10,400	\$500
Section 405.3	4	1	4	3	12	\$150	\$1,800	\$500
Section 405.5	0	4	0	3.5	0	\$50	\$0	\$1,000
Section 420.3	20	1	20	10	200	\$100	\$20,000	\$55,000
Section 420.4(a)*	0	1	0	2	0	\$23	\$0	\$0
TOTAL REPORTING:	238		8,293		1,711		\$115,590	\$79,000

* This was a one-time reporting requirement in Fiscal Year 1997.

ANNUAL RECORDKEEPING BURDEN	(1) Number of Recordkeepers	(2) Annual Hours Per Recordkeeper	(3) Total Recordkeeping Hours	(4) Recordkeeping Retention Period	(5) Cost Per Hour	(6) Total Cost	(7) Government Cost
Section 401.9	50	3	150		\$50	\$7,500	\$100
Section 403.4	4	500	2,000		\$68	\$136,000	\$3,000
Section 403.5(a)-(c)	46	50	2,300		\$40	\$92,000	\$3,000
Section 403.5(d)	1,620	100	162,000		\$25	\$4,050,000	\$30,000
Section 403.5(e)	8	250	2,000	3 yrs	\$68	\$136,000	\$500
Section 404.2	4	327	1,308	3 - 6 yrs	\$23	\$30,084	\$3,000
Section 404.2(b)	0	10	0	3 yrs	\$50	\$0	\$0
Section 404.3	4	254	1,016	3 - 6 yrs	\$50	\$50,800	\$1,000
Section 404.4	46	125	5,750	6 yrs	\$50	\$287,500	\$3,000
Section 420.4(b)	40	7	280	3 - 6 yrs	\$50	\$14,000	\$3,000
Section 420.4(c)	65	75	4,875	6 yrs	\$50	\$243,750	\$3,000
Section 450.4	997	100	99,700		\$25	\$2,492,500	\$20,000
TOTAL RECORDKEEPING:	2,884		281,379			\$7,540,134	\$69,600

TOTAL (COMBINED) ANNUAL BURDEN

RESPONDENTS: 3,122
HOURS: 283,090
COST: \$7,655,724
TOTAL GOVERNMENT COST: \$148,600

Date of Call	# of LPR	
6/9/1997	1	
6/8/1998	9	
7/9/1999	12	
9/13/2000	10	
6/4/2001	8	
7/8/2003	15	
8/23/2004	4	
9/14/2005	22	81
7/5/2006	17	
11/27/2007	14	
11/7/2008	21	
12/9/2010	9	
2/27/2012	12	
Average	11.85	10