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For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁸

Sherry R. Haywood,
Assistant Secretary.

[FR Doc. 2024–30354 Filed 12–19–24; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[OMB Control No. 3235–0785]

**Submission for OMB Review;
Comment Request; Extension: Rule
18a–10**

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 (“Commission”) has submitted to the Office of Management and Budget (“OMB”) a request for approval of extension of the previously approved collection of information provided for in Rule 18a–10 (17 CFR 240.18a–10), under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*).

Exchange Act Rule 18a–10 provides an alternative compliance mechanism pursuant to which stand-alone security-based swap dealers (“SBSDs”) registered as a swap dealer that predominantly engages in a swaps business, and that meet certain conditions set forth in the rule, may elect to comply with the capital, margin, segregation, recordkeeping, and reporting requirements of the Commodity Exchange Act (“CEA”) and the U.S. Commodity Futures Trading

Commission’s (“CFTC”) rules in lieu of complying with SEC Rules 18a–1, and 18a–3 through 18a–9. Rule 18a–10 requires the firm to provide a written disclosure to its counterparties after it begins operating pursuant to the rule. Furthermore, Rule 18a–10 requires the firm to immediately notify the Commission and the CFTC in writing if it fails to meet a condition in the rule.

There are currently two stand-alone SBSDs operating pursuant to the alternative compliance mechanism. The Commission estimates that these two stand-alone SBSDs will each spend 5 hours per year updating the disclosure language required under paragraph (b)(2) of Rule 18a–10, and that one of these stand-alone SBSDs will file the notice with the Commission required under paragraph (b)(3) of Rule 18a–10, which will impose a burden of 5 minutes per year. Consequently, the Commission estimates that the total hour burden under Rule 18a–9 is approximately 11 hours per year. Since the last approval of this information collection, the estimated total burden hours per year has decreased due to a decrease in the estimated number of respondents subject to the requirements of the Rule and as a result of certain initial burdens no longer applying.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information under the PRA unless it displays a currently valid OMB control number.

Public Comment Instructions: The 30-day public comment period for this information collection request closes at the end of the day on January 21, 2025. The public may view the full information request and submit comments at https://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=202409-3235-002 or email comments to MBX.OMB.OIRA.SEC_desk_officer@omb.eop.gov.

Dated: December 16, 2024.

Sherry R. Haywood,
Assistant Secretary.

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SECURITIES AND EXCHANGE COMMISSION

[SEC File No. 270–441, OMB Control No. 3235–0497]

**Submission for OMB Review;
Comment Request; Extension: Rule
15c3–4**

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.*) (“PRA”), the Securities and Exchange Commission (“Commission”) has submitted to the Office of Management and Budget (“OMB”) a request for approval of extension of the previously approved collection of information provided for in Rule 15c3–4 (17 CFR 240.15c3–4) (the “Rule”) under the Securities Exchange Act of 1934 (15 U.S.C. 78a *et seq.*).

Rule 15c3–4 requires certain broker-dealers that are registered with the Commission as OTC derivatives dealers, or who compute their net capital charges under Appendix E to Rule 15c3–1 (17 CFR 240.15c3–1) (“ANC firms”), to establish, document, and maintain a system of internal risk management controls. In addition, security-based swap dealers (“SBSDs”) must comply with Rule 15c3–4 as if they were OTC derivatives dealers. The Rule sets forth the basic elements for an OTC derivatives dealer, an ANC firm, or an SBSD to consider and include when establishing, documenting, and reviewing its internal risk management control system, which is designed to, among other things, ensure the integrity of an OTC derivatives dealer’s, an ANC firm’s or an SBSD’s risk measurement, monitoring, and management process, to clarify accountability at the appropriate organizational level, and to define the permitted scope of the firm’s activities and level of risk. The Rule also requires that management of an OTC derivatives dealer, an ANC firm, or an SBSD must periodically review, in accordance with written procedures, the firm’s business activities for consistency with its risk management guidelines.

The staff estimates that the average amount of time a new firm subject to Rule 15c3–4 will spend establishing and documenting its risk management control system is approximately 2,000 hours (666.666667 hours per year when annualized over three years) and that, on average, an existing firm subject to Rule 15c3–4 will spend approximately 200 hours each year to maintain (*e.g.*, reviewing and updating) its risk management control system. Currently, seventeen firms are required to comply with Rule 15c3–4. The staff estimates that approximately six new additional firms may become subject to the requirements of Rule 15c3–4 within the next three years. Thus, the estimated annual burden would be 3,400 hours for the seventeen existing firms currently required to comply with Rule 15c3–4 to maintain their risk management control

¹⁸ 17 CFR 200.30–3(a)(12).