

U.S. Office of Personnel Management.

**Janice R. Lachance,**

*Director.*

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## OFFICE OF PERSONNEL MANAGEMENT

### Submission for OMB Review; Comment Request for Reclearance of an Information Collection: SF 3104 and SF 3104B

**AGENCY:** Office of Personnel  
Management.

**ACTION:** Notice.

**SUMMARY:** In accordance with the Paperwork Reduction Act of 1995 (Public Law 104-13, May 22, 1995), this notice announces that the Office of Personnel Management (OPM) intends to submit to the Office of Management and Budget a request for reclearance of an information collection. SF 3104, Application for Death Benefits/Federal Employees Retirement System, is used to apply for benefits under the Federal Employees Retirement System based on the death of an employee, former employee, or retiree who was covered by FERS at the time of his/her death or separation from Federal Service. SF 3104B, Documentation and Elections in Support of Application for Death Benefits when Deceased was an Employee at the Time of Death, is used by applicants for death benefits under FERS if the deceased was a Federal Employee at the time of death.

Comments are particularly invited on: whether this information is necessary for the proper performance of functions of the Office of Personnel Management, and whether it will have practical utility; whether our estimate of the public burden of this collection of information is accurate, and based on valid assumptions and methodology; and ways in which we can minimize the burden of the collection of information on those who are to respond, through the use of appropriate technological collection techniques or other forms of information technology.

Approximately 4,054 SF 3104s are completed annually. We estimate that it takes approximately 60 minutes to complete the form. The annual burden is 4,054 hours. Approximately 2,920 SF 3104Bs are completed annually. We estimate that it takes 60 minutes to fill out the form. The annual burden is 2,920 hours. The combined total annual burden is 6,974 hours. For copies of this proposal, contact Jim Farron on (202)

418-3208, or E-mail to  
jmfarron@opm.gov.

**DATES:** Comments on this proposal should be received by July 17, 1998.

**ADDRESSES:** Send or deliver comments to: John C. Crawford, Chief, FERS Division, Retirement and Insurance Service, U.S. Office of Personnel Management, 1900 E Street, NW, Room 3313, Washington, DC 20415.

#### FOR INFORMATION REGARDING

**ADMINISTRATIVE COORDINATION CONTACT:** Mary Beth Smith-Toomey, Budget & Administrative Services Division, (202) 606-0623.

U.S. Office of Personnel Management.

**Janice R. Lachance,**

*Director.*

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## SECURITIES AND EXCHANGE COMMISSION

### Submission for OMB Review; Comment Request

Upon Written Request, Copies Available  
From: Securities and Exchange  
Commission, Office of Filings and  
Information Services, Washington, DC  
20549

#### Extension:

Rule 19d-1, SEC File No. 270-242, OMB  
Control No. 3235-0206

Rule 19d-3, SEC File No. 270-245, OMB  
Control No. 3235-0204

Rule 19h-1, SEC File No. 270-247, OMB  
Control No. 3235-0259

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 ("Commission") has submitted to the Office of Management and Budget a request for extension of the previously approved collections of information discussed below.

Rule 19d-1 Notices by Self-Regulatory Organizations Of Final Disciplinary Actions, Denials, Bars, Or Limitations Respecting Membership, Association, Participation, Or Access To Services, And Summary Suspensions.

Rule 19d-1 under the Securities Exchange Act of 1934 (the "Act") prescribes the form and content of notices to be filed with the Commission by self-regulatory organizations ("SROs") for which the Commission is the appropriate regulatory agency concerning the following final SRO actions: (1) disciplinary sanctions (including summary suspensions); (2) denials of membership, participation or association with a member; and (3)

prohibitions or limitations on access to SRO services. The rule enables the Commission to obtain reports from the SROs containing information regarding SRO determinations to discipline members or associated persons of members, deny membership or participation or association with a member, and similar adjudicated findings. The rule requires that such actions be promptly reported to the Commission. The rule also requires that the reports and notices supply sufficient information regarding the background, factual basis and issues involved in the proceeding to enable the Commission (1) to determine whether the matter should be called up for review on the Commission's own motion and (2) to ascertain generally whether the SRO has adequately carried out its responsibilities under the Act.

It is estimated that 10 respondents will utilize this application procedure annually, with a total burden of 2,750 hours, based upon past submissions. The staff estimates that the average number of hours necessary to comply with the requirements of Rule 19d-1 is 2.5 hours. The average cost per hour is approximately \$60. Therefore, the total cost of compliance for the respondents is \$165,000.

A respondent is required to keep the information not less than five years. The filing of notices pursuant to the rule is mandatory for SROs but does not involve the collection of confidential information.

Rule 19d-3 Applications For Review Of Final Disciplinary Sanction, Denials Of Membership, Participation, Or Limitations Of Access To Service Imposed By Self-Regulatory Organizations.

Rule 19d-3 under the Act prescribes the form and content of applications to the Commission for review of final disciplinary sanctions, denials of membership, participation or association with a member or prohibitions or limitations of access to services that are imposed by SROs. The Commission uses the information provided in the application filed pursuant to Rule 19d-3 to review final actions taken by SROs including: (1) disciplinary sanctions; (2) denials of membership, participation or association with a member; and (3) prohibitions on or limitations of access to SRO services.

It is estimated that approximately 50 respondents will utilize this application procedure annually, with a total burden of 2,750 hours, based upon past submissions. The staff estimates that the average number of hours necessary to comply with the requirements of Rule