

Dodd-Frank Burden Tracker

COMMITTEE ON FINANCIAL SERVICES

Pursuant to the Paperwork Reduction Act (PRA), a rule published in the Federal Register with information collection requirements must include estimates for the labor hours needed for affected entities to fulfill new requirements set out by the rule.

Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Compensation Clawback 3235-AK99	3235-AK99	Spring 2011	SEC	Proposed Rule Stage	N/A	N/A	N/A	
Executive Compensation Disclosure 3235-AL00	3235-AL00	Spring 2011	SEC	Proposed Rule Stage	N/A	N/A	N/A	
Department of the Treasury Acquisition Regulations: Contract Clause on Minority and Women Inclusion in Contractor Workforce 1505-AC40	1505-AC40	Fall 2011	TREAS/DO	Proposed Rule Stage	N/A	N/A	N/A	
Housing Counseling: New Program Requirements 2502-AL94	2502-AL94	Fall 2011	HUD	Proposed Rule Stage	N/A	N/A	N/A	
Regulated Entities Annual Capital Stress Tests 2590-AA47	2590-AA47	Fall 2011	FHFA	Proposed Rule Stage	N/A	N/A	N/A	
Loan Guaranty: Qualified Mortgage Definition 2900-AO00	2900-AO00	Fall 2011	VA	Proposed Rule Stage	N/A	N/A	N/A	
Extra-Territorial Application of Certain Swap Requirements 3038-AD57	3038-AD57	Fall 2011	CFTC	Proposed Rule Stage	N/A	N/A	N/A	
Registration of Certain Nondepository Covered Persons 3170-AA07	3170-AA07	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	
Supervision of Larger Depository Institutions and Affiliates 3170-AA08	3170-AA08	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	
Home Mortgage Disclosure Act (Regulation C) 3170-AA10	3170-AA10	Fall 2011	FRS	Proposed Rule Stage	N/A	N/A	N/A	
Disclosure Rules and Substantive Protection for Certain High Cost Mortgage Loans (Regulation Z) 3170-AA12	3170-AA12	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	
Mortgage Originator Standards (Regulation Z) 3170-AA13	3170-AA13	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	
Mortgage Servicing (Regulation X; Regulation Z) 3170-AA14	3170-AA14	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	
TILA/RESPA Mortgage Disclosure Integration (Regulation X; Regulation Z) 3170-AA19	3170-AA19	Fall 2011	CFPB	Proposed Rule Stage	N/A	N/A	N/A	

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Regulation of Cross-Border Security-Based Swap Activities 3235-AL25	3235-AL25	Fall 2011	SEC	Proposed Rule Stage	N/A	N/A	N/A	
Personalized Investment Advice Standard of Conduct 3235-AL27	3235-AL27	Fall 2011	SEC	Proposed Rule Stage	N/A	N/A	N/A	
Requirements for Escrow Accounts (Regulation Z) 3170-AA16	3170-AA16	Fall 2011	CFPB	Final Rule Stage	N/A	N/A	N/A	
Business Lending Data (Regulation B) 3170-AA09	3170-AA09	Fall 2011	CFPB	Pre-Rule Stage	N/A	N/A	N/A	
Funding and Fiscal Affairs, Loan Policies and Operations, and Funding Operations--Capital Adequacy: Ratings-Based Approach 3052-AC71	3052-AC71	Fall 2011	FCA	Proposed Rule Stage	N/A	N/A	N/A	
Consumer Use of Reverse Mortgages	N/A	7/2/2012	CFPB	Notice and Request for Information	N/A	N/A	3	
State Official Notification Rule 3170-AA02	3170-AA02	6/29/2012	CFPB	Final Rule Stage	N/A	N/A	6	
Rules of Practice for Adjudication Proceedings 3170-AA05	3170-AA05	6/29/2012	CFPB	Final Rule Stage	N/A	N/A	45	
Confidential Treatment of Privileged Information 3170-AA20	3170-AA20	6/29/2012	CFPB	Final Rule Stage	N/A	N/A	26	
Rules Relating to Investigations 3170-AA03	3170-AA03	6/29/2012	CFPB	Final Rule	N/A	N/A	12	
Exemptive Order Regarding Compliance with Certain Swap Regulations 3038-AD85	3038-AD85	6/29/2012	CFTC	Notice of Proposed Exemptive Order and Request for Comment	PRA estimate to be issued in Federal Register	PRA estimate to be issued in Federal Register	38	
Confidential Treatment of Privileged Information 3170-AA20	3170-AA20	6/28/2012	CFPB	Final Rule	N/A	N/A	26	
Process for Submissions for Review of Security-Based Swaps for Mandatory Clearing and Notice Filing Requirements for Clearing Agencies; Technical Amendments to Rule 19b-4 and Form 19b-4 Applicable to All Self-Regulatory Organizations 3235-AK87	3235-AK87	6/28/2012	SEC	Final rule	156,049	155,874	214	

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Listing Standards for Compensation Committees 3235-AK95	3235-AK95	6/27/2012	SEC	Final Rule Stage	No initial info	15,960	35	
Rules Prohibiting the Aggregation of Orders To Satisfy Minimum Block Sizes or Cap Size Requirements, and Establishing Eligibility Requirements for Parties to Block Trades 3038-AD84	3038-AD84	6/27/2012	CFTC	Notice of proposed rulemaking	N/A	N/A	8	
Public Input on the Report to Congress on the U.S. and Global Reinsurance Market	N/A	6/27/2012	TREAS	Notice and request for comment	N/A	N/A	1	
Customer Clearing Documentation, Timing of Acceptance for Clearing, and Clearing Member Risk Management; Core Principles and Other Requirements for Designated Contract Markets; Correction 3038-0092, -0094	3038-0092, -0094	6/25/2012	CFTC	Final rule; Correction	N/A	N/A	1	
Calculation of Maximum Obligation Limitation 1505-AC36; 3064-AD84	1505-AC36; 3064-AD84	6/22/2012	TREAS, FDIC	Final Rule Stage	N/A	N/A	5	
Disclosure of Consumer Complaint Data	N/A	6/22/2012	CFPB	Notice of proposed policy statement	N/A	N/A	2	
Lending Limits for Derivative Transactions 1557-AD59	1557-AD59	6/21/2012	TREAS/OCC	Interim Final Rule and Request for Comments	N/A	1,040	19	
Rules Prohibiting the Aggregation of Orders to Satisfy Minimum Block Sizes or Cap Size Requirements, and Establishing Eligibility Requirements for Parties to Block Trades 3038-AD84	3038-AD84	6/20/2012	CFTC	Notice of Proposed Rulemaking	N/A	N/A	28	
Core Principles and Other Requirements for Designated Contract Markets 3038-AD09	3038-AD09	6/19/2012	CFTC	Final Rule	N/A	1,260	116	2011 ICR

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Definition of 'Predominantly Engaged in Activities that are Financial in Nature or Incidental thereto' 3064-AD73	3064-AD73	6/18/2012	FDIC	Supplemental notice of proposed rulemaking and request for comment	N/A	N/A	13	
Dual and Multiple Associations of Persons Associated With Swap Dealers, Major Swap Participants and Other Commission Registrants 3038-AD66	3038-AD66	6/15/2012	CFTC	Proposed rules	N/A	N/A	6	
Statement of General Policy on the Sequencing of the Compliance Dates for Final Rules Applicable to Security-Based Swaps Adopted Pursuant to the Securities Exchange Act of 1934 and the Dodd-Frank Wall Street Reform and Consumer Protection Act	N/A	6/14/2012	SEC	Notice of statement of general policy with request for public comment	N/A	N/A	19	
Alternatives to the Use of External Credit Ratings in the Regulations of the OCC 1557-AD36	1557-AD36	6/13/2012	TREAS/OCC	Final Rule Stage	N/A	N/A	7	
Privacy Act of 1974, as Amended	N/A	6/13/2012	CFPB	Notice of proposed Privacy Act System of Records	N/A	N/A	3	
Political Contributions by Certain Investment Advisers: Ban on Third-Party Solicitation; Extension of Compliance Date 3235-AK39	3235-AK39	6/13/2012	SEC	Final rule; extension of compliance date	N/A	N/A	2	
Swap Data Recordkeeping and Reporting Requirements: Pre-enactment and transitional Swaps 3038-AD48	3038-AD48	6/12/2012	CFTC	Final Rule	91,250	N/A	40	
Statement of Policy Regarding the Conformance Period for Entities Engaged in Prohibited Proprietary Trading or Private Equity Fund or Hedge Fund Activities	N/A	6/8/2012	FRS	Notification of policy statement	N/A	N/A	2	
Risk-Based Capital Guidelines: Market Risk 1557-AC99; 7100-AD61; 3064-AD70	1557-AC99; 7100-AD61; 3064-AD70	6/7/2012	OCC, FRS, FDIC	Joint Final Rule Stage	No initial info	84,452	131	

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Regulatory Capital Rules: Advanced Approaches Risk-based Capital Rule; Market Risk Capital Rule 1557-AD46; 3064-D97	1557-AD46; 3064-D97	6/7/2012	OCC, FDIC, FRS	Joint notice of proposed rulemaking	PRA estimate to be issued in Federal Register	PRA estimate to be issued in Federal Register	201	
Regulatory Capital Rules: Standardized Approach for Risk-weighted Assets; Market Discipline and Disclosure Requirements 1557-AD46; 3064-AD96	1557-AD46; 3064-AD96	6/7/2012	OCC, FDIC	Joint notice of proposed rulemaking	PRA estimate to be issued in Federal Register	PRA estimate to be issued in Federal Register	249	
Regulatory Capital Rules: Regulatory Capital, Implementation of Basel III, Minimum Regulatory Capital Ratios, Capital Adequacy, Transition Provisions, and Prompt Corrective Action 1557-AD46; 3064-AD95	1557-AD46; 3064-AD95	6/7/2012	OCC, FDIC	Joint notice of proposed rulemaking	PRA estimate to be issued in Federal Register	PRA estimate to be issued in Federal Register	250	
Regulatory Capital Rules: Regulatory Capital, Implementation of Basel III, Minimum Regulatory Capital Ratios, Capital Adequacy, Transition Provisions, and Prompt Corrective Action 1557-AD46; 3064-AD95	N/A	6/7/2012	FRS	Joint notice of proposed rulemaking	N/A	35,232	250	Advanced Approach
Regulation OO--Securities Holding Companies (Docket No. R-1430) 7100-AD81	7100-AD81	6/4/2012	FRS	Final Rule Stage	40	N/A	4	
Truth in Lending (Regulation Z) 3170-AA17	3170-AA17	5/31/2012	CFPB	Notice of reopening of comment period and request for comment	N/A	N/A	16	
Aggregation, Position Limits for Futures and Swaps 3038-AD82	3038-AD82	5/30/2012	CFTC	Notice of proposed rulemaking	N/A	7,400	17	
Procedural Rules To Establish Supervisory Authority Over Certain Nonbank Covered Persons Based on Risk Determination 3170-AA24	3170-AA24	5/25/2012	CFPB	Proposed Rule Stage	N/A	N/A	12	

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Procedures for Monitoring Bank Secrecy Act Compliance and Fair Credit Reporting: Technical Amendments; Correction 3064-AD76	3064-AD76	5/23/2012	FDIC	Final rule; correction	N/A	N/A	1	
Electronic Fund Transfers (Regulation E) 3170-AA22	3170-AA22	5/23/2012	CFPB	Advance Notice of Proposed Rulemaking	N/A	N/A	13	
Further Definition of "Swap Dealer," "Security-Based Swap Dealer," "Major Swap Participant," "Major Security-Based Swap Participant" and "Eligible Contract Participant" 3038-AD06	3038-AD06	5/23/2012	CFTC, SEC	Final Rule	N/A	N/A	169	
Assessment of Fees on Large Bank Holding Companies and Nonbank Financial Companies Supervised by the Federal Reserve Board To Cover the Expenses of the Financial Research Fund	1505-AC42	5/21/2012	Treasury	Final rule and interim final rule	N/A	24	12	PRA Data from ICR
Aggregation Under Part 151, Position Limits For Futures And Swaps 3038-AD82	3038-AD82	5/18/2012	CFTC	Proposed Rule Stage	N/A	7,400	63	
Supervisory Guidance on Stress Testing for Banking Organizations With More Than \$10 Billion in Total Consolidated Assets	N/A	5/17/2012	TREAS/OCC, FRS, FDIC	Final supervisory guidance	N/A	62,660	15	
Political Contributions by Certain Investment Advisers	N/A	5/15/2012	SEC	Final rule; technical amendment	N/A	N/A	2	
Guidance on the Effective Date of Section 716 of the Dodd-Frank Wall Street Reform and Consumer Protection Act	N/A	5/10/2012	TREAS/OCC, FRS, FDIC	Notice of joint guidance	N/A	N/A	2	

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Amendments to Financial Responsibility Rules for Broker-Dealers 3235-AJ85	3235-AJ85	5/9/2012	SEC	Proposed rule; reopening of comment period	N/A	N/A	2	
Mutual Insurance Holding Company Treated as Insurance Company 3064-AD89	3064-AD89	4/30/2012	FDIC	Final Rule Stage	N/A	N/A	5	
Commodity Options 3038-AD62	3038-AD62	4/27/2012	CFTC	Final Rule and Interim Final Rule	PRA estimate to be issued in Federal Register	PRA estimate to be issued in Federal Register	25	
Request for Information Regarding Scope, Methods, and Data Sources for Conducting Study of Pre-Dispute Arbitration Agreements	N/A	4/27/2012	CFPB	Notice and Request for Information	N/A	N/A	3	
Supplemental Standards of Ethical Conduct for Employees of the Bureau of Consumer Financial Protection 3209-AA15	3209-AA15	4/27/2012	CFPB	Interim Final Rule with request for public comment	N/A	N/A	10	
Collection of Checks and Other Items by Federal Reserve Banks and Funds Transfers Through Fedwire: Elimination of "As-of Adjustments" and Other Clarifications RIN 7100-AD 84	7100-AD84	4/12/2012	FRS	Final Rule Stage	N/A	N/A	8	
Truth in Lending (Regulation Z) 3170-AA21	3170-AA21	4/12/2012	CFPB	Proposed rule; request for public comment	N/A	N/A	4	
Implementation of the Freedom of Information Act 4030-AA02	4030-AA02	4/11/2012	FSOC	Final Rule Stage	N/A	N/A	10	
Authority To Require Supervision and Regulation of Certain Nonbank Financial Companies 4030-AA00	4030-AA00	4/11/2012	FSOC	Final Rule Stage	No initial info	1,000	26	

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Definition of "Predominantly Engaged in Financial Activities"; 7100-AD64	7100-AD64	4/10/2012	FRS	Supplemental notice of proposed rulemaking Stage	N/A	12	12	PRA data from FRS supplement
Customer Clearing Documentation, Timing of Acceptance for Clearing, and Clearing Member Risk Management 3038-0092; 3038-0094	3038-0092; 3038-0094	4/9/2012	CFTC	Final Rule	N/A	N/A	33	Final rule combines 4 proposed rules: See 76 FR
Investment Company Advertising; Target Date Retirement Fund Names and Marketing 3235-AK50	3235-AK50	4/6/2012	SEC	Proposed rule; reopening of comment period	N/A	N/A	1	
Exemptions for Security-Based Swaps 3235-AL16	3235-AL16	4/5/2012	SEC	Final Rule Stage	N/A	240	14	
Swap Dealer and Major Swap Participant Recordkeeping, Reporting, and Duties Rules; Futures Commission Merchant and Introducing Broker Conflicts of Interest Rules; and Chief Compliance Officer Rules for Swap Dealers, Major Swap Participants, and Futures Co	3038-AC96	4/3/2012	CFTC	Final Rule	40,000	777,107	88	Final Rule combines 4 proposed rules: See 75 FR 76666; 75 FR 71397; 75 FR 70152; 75 FR
Fair Credit Reporting Act Disclosures 3170-AA06	3170-AA06	4/3/2012	CFPB	Notice regarding charges for certain disclosures under the Fair Credit Reporting Act.	361,000	N/A	2	ICR link
Enforcement of Subsidiary and Affiliate Contracts by the FDIC as Receiver of a Covered Financial Company	3064-AD94	3/27/2012	FDIC	Proposed Rule Stage	N/A	N/A	9	
Annual Stress Test 1557-AD58	1557-AD58	3/21/2012	TREAS/OCC	Proposed rule; extension of comment period	N/A	63,440	1	

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Procedures To Establish Appropriate Minimum Block Sizes for Large Notional Off-Facility Swaps and Block Trades 3038-AD08	3038-AD08	3/15/2012	CFTC	Further notice of proposed rulemaking	N/A	4,058	68	
Identity Theft Red Flags Rules 3235-AL26, 3038-AD14	3235-AL26, 3038-AD14	3/6/2012	SEC, CFTC	Proposed Rule Stage	22,652	70,292	29	
Commodity Pool Operators and Commodity Trading Advisors: Compliance Obligations 3038-AD30	3038-AD30	2/24/2012	CFTC	Final Rule Stage	No initial info	272,420	94	PRA data from ICR
Investment Adviser Performance Compensation 3235-AK71	3235-AK71	2/22/2012	SEC	Final rule	N/A	N/A	11	
Defining Larger Participants in Certain Consumer Financial Product and Service Markets 3170-AA00	3170-AA00	2/17/2012	CFPB	Proposed Rule Stage	N/A	N/A	17	
Business Conduct Standards for Swap Dealers and Major Swap Participants With Counterparties 3038-AD25	3038-AD25	2/17/2012	CFTC	Final Rule Stage	N/A	N/A	102	
Home Mortgage Disclosure (Regulation C) 3170-AA06	3170-AA06	2/15/2012	CFPB	Final Rule Stage	N/A	N/A	2	
Prohibitions and Restrictions on Proprietary Trading and Certain Interests in, and Relationships With, Hedge Funds and Covered Funds 3038-AD05	3038-AD05	2/14/2012	CFTC	Proposed Rule Stage	N/A	N/A	116	
Reporting Line for the Commission's Inspector General	N/A	2/14/2012	SEC	Final rule	N/A	N/A	2	
Disclosure Rules for Remittance Transactions/ Electronic Fund Transfers (Regulation E) 3170-AA15	3170-AA15	2/7/2012	CFPB	Final Rule Stage	3,431,000	4,253,000	117	PRA data from ICR

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Protection of Cleared Swaps Customer Contracts and Collateral; Conforming Amendments to the Commodity Broker Bankruptcy Provisions 3038-AC99	3038-AC99	2/7/2012	CFTC	Final Rule Stage	No initial info	36,500	74	PRA data from ICR
Annual Stress Test 1557-AD58	1557-AD58	1/24/2012	TREAS/OCC	Notice of proposed rulemaking	N/A	63,440	8	
Resolution Plans Required for Insured Depository Institutions With \$50 Billion or More in Total Assets 3064-AD59	3064-AD59	1/23/2012	FDIC	Final Rule Stage	266,400	25,068	14	
Performance of Registration Functions by National Futures Association With Respect To Swap Dealers and Major Swap Participants	N/A	1/19/2012	CFTC	Notice	N/A	N/A	2	
Registration of Swap Dealers and Major Swap Participants 3038-AC95	3038-AC95	1/19/2012	CFTC	Final Rule Stage	No initial info	629	17	PRA data from ICR
Swap Data Recordkeeping and Reporting Requirements 3038-AD19	3038-AD19	1/13/2012	CFTC	Final Rule Stage	No initial info	1,428,924	89	PRA data from ICR
Real-Time Public Reporting of Swap Transaction Data 3038-AD08	3038-AD08	1/9/2012	CFTC	Final Rule Stage	No initial info	667,140	85	PRA data from ICR
Net Worth Standard for Accredited Investors 3235-AK90	3235-AK90	12/29/2011	SEC	Final Rule Stage	N/A	N/A	14	
Mine Safety Disclosure 3235-AK83	3235-AK83	12/28/2011	SEC	Final Rule Stage	No initial info	5,775	24	
Extension of Temporary Registration of Municipal Advisors 3235-AK69	3235-AK69	12/27/2011	SEC	Interim Final Rule; Extension	N/A	N/A	3	

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Amendment to July 14, 2011 Order for Swap Regulation	N/A	12/23/2011	CFTC	Final Rule Stage	N/A	N/A	9	
Registration of Foreign Boards of Trade 3038-AD19	3038-AD19	12/23/2011	CFTC	Final Rule Stage	No initial info	16,604	50	PRA data from ICR
Restatement of Federal Consumer Financial Law Regulations 3170-AA06	3170-AA06	12/21/2011	CFPB	Interim Final Rule Stage	N/A	N/A	26	
Investment of Customer Funds and Funds Held in an Account for Foreign Futures and Foreign Options Transactions 3038-AC79	3038-AC79	12/19/2011	CFTC	Final Rule Stage	N/A	N/A	28	
Home Mortgage Disclosure (Regulation C) 3170-AA06	3170-AA06	12/19/2011	CFPB	Interim final rule with request for public comment	N/A	N/A	19	
Regulation Y--Capital Plans (Docket No. R-1425) 7100-AD77	7100-AD77	12/1/2011	FRS	Final Rule Stage	No initial info	432,764	18	PRA data from ICR
Remittance Transfers 3133-AD94	3133-AD94	11/30/2011	NCUA	Final Rule Stage	N/A	N/A	2	
Position Reports for Physical Commodity Swaps 3038-AD17	3038-AD17	11/18/2011	CFTC	Final Rule Stage	No initial info	164,802	20	PRA data from ICR
Reporting by Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisers on Form PF 3038-AD03; 3235-AK92	3038-AD03; 3235-AK92	11/16/2011	CFTC, SEC	Joint Final Rule Stage	226,000	258,000	112	
Financial Resources Requirements for Derivatives Clearing Organizations 3038-AC98	3038-AC98	11/8/2011	CFTC	Final Rule Stage	No initial info	480	147	PRA data from ICR

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Prohibitions and Restrictions on Proprietary Trading and Certain Relationships With Hedge Funds and Private Equity Funds 3064-AD85	1557-AD44, 7100-AD82, 3064-AD85, 3235-AL07	11/7/2011	FRS, FDIC, OCC, SEC	Proposed Rule Stage	4,758,647	1,825,197	127	
Implementation of Section 939A of the Dodd-Frank Wall Street Reform and Consumer Protection Act 1990-AA38	1990-AA38	11/2/2011	DOE	Proposed Rule Stage	N/A	N/A	4	
Regulation Y--Resolution Plans and Credit Exposure Reports Require (Docket No. R-1414) 7100-AD73	7100-AD73	11/1/2011	FRS, FDIC	Final Rule Stage	700,000	155,304	18	
Registration of Security-Based Swap Dealers and Major Security-Based Swap Participants 3235-AL05	3235-AL05	10/24/2011	SEC	Proposed Rule Stage	7,715	2,005	101	
Disclosure of Information: Privacy Act Regulations: Notice and Amendments 3064-AD83	3064-AD83	10/14/2011	FDIC	Final Rule Stage	N/A	N/A	2	
Prohibition Against Conflicts of Interest in Certain Securitizations 3235-AL04	3235-AL04	9/28/2011	SEC	Proposed Rule Stage	No initial info	11,260	31	
Government Securities Act Regulations: Replacement of References to Credit Ratings and Technical Amendments 1535-AA02	1535-AA02	9/27/2011	TREAS	Proposed Rule Stage	N/A	N/A	5	
Regulation B--Equal Credit Opportunity (Docket No. R-1426) 7100-AD78	7100-AD78	9/26/2011	FRS	Final Rule Stage	N/A	N/A	3	
Swap Transaction Compliance Implementation Schedules 3038-AC96	3038-AC96;3038-AC97	9/20/2011	CFTC	Further notice of proposed rulemaking	N/A	N/A	11	
Mandatory Clearing and Trade Execution Compliance Schedule/ Swap Transaction Compliance and Implementation Schedule: Clearing and Trade Execution Requirements under Section 2(h) of the CEA 3038-AD60	3038-AD60	9/20/2011	CFTC	Proposed Rule Stage	N/A	N/A	12	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Regulation LL--Savings and Loan Holding Companies and Regulation MM - Mutual Holding Companies (Docket No. R-1429) 7100-AD80	7100-AD80	9/13/2011	FRS	Interim Final Rule Stage	N/A	N/A	99	
Retail Foreign Exchange Transactions; Conforming Changes to Existing Regulations in Response to the Dodd-Frank Wall Street Reform and Consumer Protection Act	N/A	9/12/2011	CFTC	Final Rule Stage	N/A	N/A	5	
Swap Data Repositories: Registration Standards, Duties and Core Principles 3038-AD20	3038-AD20	9/1/2011	CFTC	Final Rule Stage	619,800	234,480	60	
Whistleblower Incentives and Protection 3038-AD04	3038-AD04	8/25/2011	CFTC	Final Rule Stage	No initial info	340	51	
Suspension of Duty to File Reports for Classes of Asset-Backed Securities Under Section 15(d) of the Exchange Act 3235-AK89	3235-AK89	8/23/2011	SEC	Final Rule Stage	No initial info	82,074	8	
Agricultural Swaps 3038-AD21	3038-AD21	8/10/2011	CFTC	Final Rule Stage	N/A	N/A	10	
Republication of Regulations in Connection With Office of Thrift Supervision Integration Pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 1557-AD47	1557-AD47	8/9/2011	TREAS/OCC	Interim Final Rule Stage	N/A	N/A	250	
Transfer and Redesignation of Certain Regulations Involving State Savings Associations Pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 3064-AD82	3064-AD82	8/5/2011	FDIC	Interim Rule Stage	N/A	N/A	182	
Regulation NN--Retail Foreign Exchange Transactions (Docket No. R-1428) 7100-AD79	7100-AD79	8/3/2011	FRS	Proposed Rule Stage	No initial info	6,870	17	
Security Ratings 3235-AK18	3235-AK18	8/3/2011	SEC	Final Rule Stage	No initial info	(874)	19	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Provisions Common to Registered Entities 3038-AD07	3038-AD07	7/27/2011	CFTC	Final Rule Stage	No initial info	14,121	25	PRA data from ICR
Authority To Designate Financial Market Utilities as Systemically Important 4030-AA01	4030-AA01	7/27/2011	FSOC	Final Rule Stage	No initial info	500	14	
Process for Review of Swaps for Mandatory Clearing 3038-AD00	3038-AD00	7/26/2011	CFTC	Final Rule Stage	No initial info	480	12	
Removing Any Reference to or Reliance on Credit Ratings in Commission Regulations; Proposing Alternatives to the Use of Credit Ratings 3038-AD11	3038-AD11	7/25/2011	CFTC	Final Rule Stage	N/A	N/A	4	
Privacy of Consumer Financial Information; Conforming Amendments Under Dodd-Frank Act 3038-AD13	3038-AD13	7/22/2011	CFTC	Final Rule Stage	N/A	2,880	6	PRA data from ICR
Business Affiliate Marketing and Disposal of Consumer Information Rules 3038-AD12	3038-AD12	7/22/2011	CFTC	Final Rule Stage	11,102	2,614	12	
Alternative Mortgage Transaction Parity (Regulation D) 3170-AA04	3170-AA04	7/22/2011	CFPB	Interim final rule with request for public comment.	N/A	N/A	19	
Identification of Enforceable Rules and Orders	N/A	7/21/2011	CFPB	Final List	N/A	N/A	3	
OTS Integration: Dodd-Frank Act Implementation 1557-AD41	1557-AD41	7/21/2011	TREAS/OCC	Final Rule Stage	N/A	N/A	21	
Debit Card Interchange Fees and Routing 7100-AD63	7100-AD63	7/20/2011	FRS	Final Rule Stage	N/A	N/A	82	
Effective Date for Swap Regulation	N/A	7/19/2011	CFTC	Final Rule Stage	N/A	N/A	27	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Rules Implementing Amendments to the Investment Advisers Act 3235-AK82	3235-AK82	7/19/2011	SEC	Final Rule Stage	N/A	19	156	PRA data from ICR
Prohibition Against Payment of Interest on Demand Deposits 7100-AD72	7100-AD72	7/18/2011	FRS	Final Rule Stage	N/A	N/A	6	
Business Conduct Standards for Security-Based Swap Dealers and Major Security-Based Swap Participants 3235-AL10	3235-AL10	7/18/2011	SEC	Proposed Rule Stage	957,175	303,060	64	
Certain Orderly Liquidation Authority Provisions under Title II of the Dodd-Frank Wall Street Reform and Consumer Protection Act	N/A	7/15/2011	FDIC	Final Rule Stage	N/A	N/A	22	
Equal Credit Opportunity 7100-AD67	7100-AD67	7/15/2011	FRS	Final Rule Stage	35,424	N/A	13	PRA data from ICR
Fair Credit Reporting Risk-Based Pricing Regulations 7100-AD66; R411009	7100-AD66; R411009	7/15/2011	FRS, FTC	Final Rule Stage	2,128,000	581,536	25	PRA data from ICR
Retail Foreign Exchange Transactions 3235-AL19	3235-AL19	7/15/2011	SEC	Interim Final Rule Stage	N/A	N/A	10	
Interest on Deposits: Deposit Insurance Coverage 3064-AD78	3064-AD78	7/14/2011	FDIC	Final Rule Stage	N/A	N/A	4	
Prohibition of Market Manipulation 3038-AD27	3038-AD27	7/14/2011	CFTC	Final Rule Stage	N/A	N/A	14	
Retail Foreign Exchange Transactions 1557-AD42	1557-AD42	7/14/2011	TREAS/OCC	Final Rule Stage	No initial info	67,254	18	PRA data from ICR

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Amendment to Rule Filing Requirement for Dually Registered Clearing Agencies 3235-AL18	3235-AL18	7/13/2011	SEC	Interim final rule with request for public comment.	N/A	N/A	8	
Public Company Accounting Oversight Board: Notice of Filing of Proposed Rule 3235-AL18	N/A	7/12/2011	SEC	Notice	N/A	N/A	12	
Retail Foreign Exchange Transactions 3064-AD81	3064-AD81	7/12/2011	FDIC	Final Rule Stage	No initial info	6,038	19	PRA data from ICR
Extension of Temporary Exemptions for Eligible Credit Default Swaps To Facilitate Operation of Central Counterparties To Clear and Settle Credit Default Swaps 3235-AK26	3235-AK26	7/8/2011	SEC	Final Rule Stage	N/A	N/A	7	
List of Office of Thrift Supervision Regulations to be Enforced by the Office of the Comptroller of the Currency and the Federal Deposit Insurance Corporation Pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act 3064-ZA01	3064-ZA01	7/6/2011	OCC, FDIC	Joint Notice	N/A	N/A	3	
Modification of Treasury Regulations Pursuant to Section 939A of the Dodd-Frank Wall Street Reform and Consumer Protection Act 1545-BK28	1545-BK28	7/6/2011	IRS	Final and temporary Rule Stage	N/A	N/A	6	
Exemptions for Advisers to Venture Capital Funds, Private Fund Advisers With Less than \$150 Million in Assets Under Management and Foreign Private Advisers 3235-AK81	3235-AK81	7/6/2011	SEC	Final Rule Stage	N/A	N/A	58	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Modification of Treasury Regulations Pursuant to Section 939A of the Dodd-Frank Wall Street Reform and Consumer Protection Act 1545-BK27	1545-BK27	7/6/2011	TREAS/IRS	Notice of proposed rulemaking regulations.	N/A	N/A	3	
Family Offices 3235-AK66	3235-AK66	6/29/2011	SEC	Final Rule Stage	N/A	N/A	14	
Risk-Based Capital Standards: Advanced Capital Adequacy Framework-Basel II; Establishment of a Risk-Based Capital Floor 1557-AD33	1557-AD33	6/28/2011	OCC,FRS, FDIC	Final Rule Stage	N/A	N/A	10	
Truth in Lending (Consumer Credit Transactions Threshold)	N/A	6/20/2011	FRS	Final Rule Stage	N/A	N/A	2	
Consumer Leasing	N/A	6/20/2011	FRS	Final Rule Stage	N/A	N/A	2	
Beneficial Ownership Reporting Requirements and Security-Based Swaps 3235-AK98	3235-AK98	6/14/2011	SEC	Final Rule Stage	N/A	N/A	12	
Proposed Rules for Implementing the Whistleblower Provisions of Section 21F of the Securities Exchange Act 3235-AK78	3235-AK78	6/13/2011	SEC	Final Rule Stage	No initial info	10,758	85	PRA data from ICR
Nationally Recognized Statistical Rating Organizations 3235-AL15	3235-AL15	6/8/2011	SEC	Proposed Rule Stage	107,150	744,241	144	
Further Definition of "Swap," "Security-Based Swap," and "Security-Based Swap Agreement"; Mixed Swaps	3038-AD46; 3235-AK65	6/7/2011	CFTC, SEC	Joint proposed rules; proposed interpretations; correction	N/A	N/A	1	
Adaptation of Regulations to Incorporate Swaps 3038-AD53	3038-AD53	6/7/2011	CFTC	Proposed Rule Stage	2,592,205	198,403	48	PRA data from ICR
Disqualification of Felons and Other "Bad Actors" From Rule 506 Offerings 3235-AK97	3235-AK97	6/1/2011	SEC	Proposed Rule Stage	-	-	26	
Share Insurance and Appendix 3133-AD79	3133-AD79	5/25/2011	NCUA	Final Rule Stage	No initial info	1,200	4	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Product Definitions Relating to Swaps and Security Based Swaps 3038-AD46	3038-AD46	5/23/2011	CFTC, SEC	Proposed Rule Stage	N/A	N/A	83	
Order Directing Funding for the Governmental Accounting Standards Board	N/A	5/16/2011	SEC	Order	N/A	N/A	2	
TILA Ability to Repay (Regulation Z) 7100-AD75	7100-AD75	5/11/2011	FRS	Proposed Rule Stage	N/A	N/A	117	
Margin and Capital requirements for covered swap entities 1557-AD43	1557-AD43, 7100-AD74, 3064-AD79, 3052-AC69, 2590-AA95	5/11/2011	OCC, FRS, FDIC, FCA, FHFA	Proposed Rule Stage	No initial info	15,757	33	
Removal of Certain References to Credit Ratings Under the Securities Exchange Act of 1934 3235-AL14	3235-AL14	5/6/2011	SEC	Proposed Rule Stage	12,113	7,243	28	
Establishment of the FDIC Systemic Resolution Advisory Committee	N/A	5/4/2011	FDIC	Notice	N/A	N/A	2	
Credit Risk Retention by Securitizers 1557-AD40	2501-AD53, 1557-AD40, 2590-AA43, 3064-AD74, 3235-AK96, 7100-AD70	4/29/2011	OCC, FRS, FDIC, SEC, FHFA, HUD	Proposed Rule Stage	No initial info	187,542	97	
Incentive-Based Compensation Arrangements 3064-AD56; 1557-AD39; 7100-AD69; 1550-AC49; 3133-AD88; 3235-AL06; 2590-AA42	1557-AD39, 7100-AD69, 3064-AD56, 1550-AC49, 3133-AD88, 3235-AL06, 2590-AA42	4/14/2011	FDIC, OCC, FRS, OTS, NCUA, FHFA, SEC	Proposed Rule Stage	190,120	68,490	50	
Regulation HH--Financial Market Utilities (Docket No. R-1412) 7100-AD71	7100-AD71	4/4/2011	FRS	Proposed Rule Stage	N/A	N/A	10	
Regulation M--Consumer Leasing (Docket No R-1400) 7100-AD60	7100-AD60	4/4/2011	FRS	Final Rule Stage	2,784	580	6	PRA data from ICR
Regulation Z-Truth in Lending (Docket No. R-1399) 7100-AD59	7100-AD59	4/4/2011	FRS	Final Rule Stage	45,520	9,104	12	PRA data from ICR

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Rule 17Ad-17: Transfer Agents', Brokers', and Dealers' Obligation To Search for Lost Securityholders; Paying Agents' Obligation To Search for Missing Securityholders 3235-AL11	3235-AL11	3/25/2011	SEC	Proposed Rule Stage	No initial info	23,933	6	
Clearing Agency Standards for Operation and Governance 3235-AL13	3235-AL13	3/16/2011	SEC	Proposed Rule Stage	112,163	64,712	68	
References to Credit Ratings in Certain Investment Company Act Rules and Forms 3235-AL02	3235-AL02	3/9/2011	SEC	Proposed Rule Stage	13,668	(3,912)	21	
Registration of Intermediaries 3038-AD50	3038-AD50	3/9/2011	CFTC	Proposed Rule Stage	N/A	N/A	9	
Amendments to Commodity Pool Operator and Commodity Trading Advisor Regulations Resulting From the Dodd-Frank Act 3038-AD49	3038-AD49	3/3/2011	CFTC	Proposed Rule Stage	N/A	N/A	5	
Truth in Lending: Amend Reg Z 7100-AD54	7100-AD54	3/2/2011	FRS	Final Rule Stage	N/A	N/A	6	
Regulation Z--Escrow Requirements (Docket No. R-1406) 7100-AD65	7100-AD65	3/2/2011	FRS	Proposed Rule Stage	45,520	109,248	32	
Removing References to Credit Ratings in Regulations; Proposing Alternatives to the Use of Credit Ratings 3133-AD86	3133-AD86	3/1/2011	NCUA	Proposed Rule Stage	15,000	7,500	9	
Registration and Regulation of Securities-Based Swap Execution Facilities 3235-AK93	3235-AK93	2/28/2011	SEC	Proposed Rule Stage	264,801	165,632	123	PRA data from ICR
Assessments, Large Bank Pricing 3064-AD66	3064-AD66	2/25/2011	FDIC	Final Rule Stage	N/A	N/A	62	
Conformance Period for Entities Engaged in Prohibited Proprietary Trading or Private Equity Fund or Hedge Fund Activities 7100-AD58	7100-AD58	2/14/2011	FRS	Final Rule Stage	No initial info	21,600	14	
Orderly Liquidation Termination Provision in Swap Trading Relationship Documentation for Swap Dealers and Major Swap Participants 3038-AC96	3038-AC96	2/8/2011	CFTC	Proposed Rule Stage	No initial info	81,000	8	PRA data from ICR

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Swap Trading Relationship Documentation Requirements for Swap Dealers and Major Swap Participants 3038-AC96	3038-AC96	2/8/2011	CFTC	Proposed Rule Stage	N/A	1,850,400	13	PRA data from ICR
Shareholder Approval of Executive Compensation and Golden Parachute Compensation 3235-AK68	3235-AK68	2/2/2011	SEC	Final Rule Stage	No initial info	69,487	39	
Deposit Insurance Regulations: Unlimited Coverage for Noninterest-Bearing Transaction Accounts; Inclusion of Interest on Lawyers Trust Accounts 3064-AD37	3064-AD37	1/27/2011	FDIC	Final Rule Stage	N/A	N/A	4	
Disclosure for Asset-Backed Securities Required by Section 943 of the Dodd-Frank Wall Street Reform and Consumer Protection Act 3235-AK75	3235-AK75	1/26/2011	SEC	Final Rule Stage	No initial info	286,016	27	
Position Limits for Derivatives 3038-AD15; 3038-AD16	3038-AD15; 3038-AD16	1/26/2011	CFTC	Proposed Rule Stage	No initial info	896,400	26	PRA data from ICR
Issuer Review of Assets in Offerings of Asset-Backed Securities 3235-AK76	3235-AK76	1/25/2011	SEC	Final Rule Stage	No initial info	6,998	14	
Rules of Practice	N/A	1/24/2011	SEC	Final Rule Stage	N/A	N/A	7	
Trade Acknowledgement and Verification of Security-Based Swap Transactions 3235-AK91	3235-AK91	1/21/2011	SEC	Proposed Rule Stage	23,925	26,180	16	PRA data from ICR
Core Principles and Other Requirements for Swap Execution Facilities 3038-AD18	3038-AD18	1/7/2011	CFTC	Proposed Rule Stage	No initial info	10,780	46	
Governance Requirements for Derivatives Clearing Organizations, Designated Contract Markets, and Swap Execution Facilities; Additional Requirements Regarding the Mitigation of Conflicts of Interest 3038-AD01	3038-AD01	1/6/2011	CFTC	Proposed Rule Stage	No initial info	6,055	16	

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Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Registration of Municipal Advisers 3235-AK86	3235-AK86	1/6/2011	SEC	Proposed Rule Stage	71,939	212,135	146	PRA data from ICR
Process for Submissions for Review of Security-Based Swaps for Mandatory Clearing and Notice Filing Requirements for Clearing Agencies; Technical Amendments to Rule 19b-4 and Form 19b-4 Applicable to All Self-Regulatory Organizations 3235-AK87	3235-AK87	12/30/2010	SEC	Proposed Rule Stage	131,987	131,727	44	
Confirmation, Portfolio Reconciliation, and Portfolio Compression Requirements for Swap Dealers and Major Swap Participants 3038-AC96	3038-AC96	12/28/2010	CFTC	Proposed Rule Stage	N/A	384,750	14	PRA data from ICR
Disclosure of Payments By Resource Extraction Issuers 3235-AK85	3235-AK85	12/23/2010	SEC	Proposed Rule Stage	No initial info	52,931	25	
Conflict Minerals 3235-AK84	3235-AK84	12/23/2010	SEC	Proposed Rule Stage	No initial info	153,864	28	
End-User Exception to Mandatory Clearing of Swaps 3038-AD10	3038-AD10	12/23/2010	CFTC	Proposed Rule Stage	No initial info	1,000	12	PRA data from ICR
End-User Exception to Mandatory Clearing of Security-Based Swaps 3235-AK88	3235-AK88	12/21/2010	SEC	Proposed Rule Stage	44,000	93,000	20	PRA data from ICR
Designated Reserve Ratio 3064-AD69	3064-AD69	12/20/2010	FDIC	Final Rule Stage	N/A	N/A	8	
Security-Based Swap Data Repository Registration, Duties, and Core Principles 3235-AK79	3235-AK79	12/10/2010	SEC	Proposed Rule Stage	462,600	280,155	72	
Regulation SBSR--Reporting and Dissemination of Security-Based Swap Information 3235-AK80	3235-AK80	12/2/2010	SEC	Proposed Rule Stage	1,194,220	5,457,360	81	PRA data from ICR
Prohibition Against Fraud, Manipulation, and Deception in Connection With Security-Based Swaps 3235-AK77	3235-AK77	11/8/2010	SEC	Proposed Rule Stage	N/A	N/A	9	
Amendments to TILA and FIRREA Concerning Appraisals AD-7100-56	AD-7100-56	10/28/2010	FRS	Interim final rule; request for public comment.	284,400	N/A	34	

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Pursuant to the Paperwork Reduction Act (PRA), a rule published in the Federal Register with information collection requirements must include estimates for the labor hours needed for affected entities to fulfill new requirements set out by the rule.

Rule	RIN #	Date	Agency	Notice	Initial Aggregate Industry Wide Labor Hours**	Annual On-Going Industry Wide Labor Hours**	Rule-making Pages	ICR Links/Comments*
Ownership Limitations and Governance Requirements for Security-Based Swap Clearing Agencies; Security-Based Swap execution Facilities, and National Exchanges With Respect to Security-Based Swaps Under Regulation MC 3235-AK74	3235-AK74	10/26/2010	SEC	Proposed Rule Stage	6,467	5,852	51	PRA data from ICR
Interim Rule for Reporting Pre-Enactment Security-Based Swap Transactions / Reporting of Security-Based Swap Transaction Data 3235-AK73	3235-AK73	10/20/2010	SEC	Interim Final Rule Stage	552,000	N/A	12	
Deposit Insurance Regulations; Unlimited Coverage for Noninterest-Bearing Transaction Accounts 3064-AD65	3064-AD65	10/15/2010	FDIC	Final Rule Stage	No initial info	112,632	7	
Alternatives to the Use of External Credit Ratings 1557-AC44	1557-AC44	10/14/2010	OTS	Proposed Rule Stage	N/A	N/A	4	
Removal From Regulation FD of the Exemption for Credit Rating Agencies	N/A	10/4/2010	SEC	Final Rule Stage	N/A	N/A	2	
Commission Guidance Regarding Auditing, Attestation, and Related Professional Practice Standards Related To Brokers and Dealers	N/A	10/1/2010	SEC	Interpretation	N/A	N/A	2	
Truth in Lending	N/A	9/24/2010	FRS	Final Rule	N/A	N/A	30	
Internal Control Over Financial Reporting in Exchange Act Periodic Reports of Non-Accelerated Filers	N/A	9/21/2010	SEC	Final Rule Stage	N/A	N/A	4	
Regulation of Off-Exchange Retail Foreign Exchange Transactions and Intermediaries 3038-AC61	3038-AC61	9/10/2010	CFTC	Final Rule Stage	No initial info	221,949	43	
Display of Official Sign; Permanent Increase in Standard Maximum Share Insurance Amount 3133-AD78	3133-AD78	9/2/2010	NCUA	Final Rule Stage	N/A	N/A	3	
Advance Notice of Proposed Rulemaking Regarding Alternatives to the Use of Credit Ratings in the Risk-Based Capital Guidelines of the Federal Banking Agencies 1557-AD35; 7100-AD53; 3064-AD62; 1550-AC43	1557-AD35; 7100-AD53; 3064-AD62; 1550-AC43	8/25/2010	OCC, FRS, FDIC, OTS	Proposed Rule Stage	N/A	N/A	8	

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** N/A signifies that the rule will not increase annual Paperwork Reduction Act burden or that no burden listed.

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Deposit Insurance Regulations: Permanent Increase in Standard Coverage Amount; Advertisement of Membership; International Banking; Foreign Banks 3064-AD61	3064-AD61	8/13/2010	FDIC	Final Rule Stage	N/A	N/A	3	
<u>TOTAL BURDEN HOURS FOR 224 RULES</u>					19,984,836	24,180,856	7,365	

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