



This document is scheduled to be published in the Federal Register on 04/17/2013 and available online at <http://federalregister.gov/a/2013-08951>, and on [FDsys.gov](http://FDsys.gov)

**[BILLING CODE: 4810-033-P]**

**DEPARTMENT OF THE TREASURY**

**Office of the Comptroller of the Currency**

**Agency Information Collection Activities; Information Collection Renewal;**

**Submission for OMB Review:**

**Municipal Securities Dealers and Government Securities**

**Brokers and Dealers – Registration and Withdrawal**

**AGENCY:** Office of the Comptroller of the Currency (OCC), Treasury.

**ACTION:** Notice and request for comment.

**SUMMARY:** The OCC, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on a continuing information collection, as required by the Paperwork Reduction Act of 1995. An agency may not conduct or sponsor, and a respondent is not required to respond to, an information collection unless it displays a currently valid Office of Management and Budget (OMB) control number. Currently, the OCC is soliciting comment concerning its renewal of an information collection titled, "Municipal Securities Dealers and Government Securities Brokers and Dealers – Registration and Withdrawal." The OCC is also giving notice that the collection has been sent to OMB for review.

**DATES:** You should submit written comments by [INSERT DATE 30 DAYS FROM DATE OF PUBLICATION IN FEDERAL REGISTER.]

**ADDRESSES:** Because paper mail in the Washington, DC area and at the OCC is subject to delay, commenters are encouraged to submit comments by e-mail if possible.

Comments may be sent to: Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, Attention: 1557-0184, 400 7<sup>th</sup> Street, SW., Suite 3E-218, Mail Stop 9W-11, Washington, DC 20219. In addition, comments may be sent by fax to (571) 465-4326 or by electronic mail to [regs.comments@occ.treas.gov](mailto:regs.comments@occ.treas.gov). You may personally inspect and photocopy comments at the OCC, 400 7<sup>th</sup> Street, SW., Washington, DC 20219. For security reasons, the OCC requires that visitors make an appointment to inspect comments. You may do so by calling (202) 649-6700. Upon arrival, visitors will be required to present valid government-issued photo identification and to submit to security screening in order to inspect and photocopy comments.

All comments received, including attachments and other supporting materials, are part of the public record and subject to public disclosure. Do not enclose any information in your comment or supporting materials that you consider confidential or inappropriate for public disclosure.

Additionally, please send a copy of your comments by mail to: OCC Desk Officer, 1557-0184, U.S. Office of Management and Budget, 725 17th Street, NW., #10235, Washington, DC 20503, or by email to: [oir\\_submission@omb.eop.gov](mailto:oir_submission@omb.eop.gov).

**FOR FURTHER INFORMATION CONTACT:** You can request additional information from or a copy of the collection from Johnny Vilela or Mary H. Gottlieb, Clearance Officers, (202) 649-5490, Legislative and Regulatory Activities Division (1557-0184), Office of the Comptroller of the Currency, 400 7<sup>th</sup> Street, SW., Suite 3E-218, Mail Stop 9W-11, Washington, DC 20219.

## **SUPPLEMENTARY INFORMATION:**

The OCC is proposing to extend OMB approval of the following information collection:

Title: Municipal Securities Dealers and Government Securities Brokers and Dealers – Registration and Withdrawal.

OMB Control No.: 1557-0184.

Form Numbers: MSD, MSDW, MSD-4, MSD-5, G-FIN, G-FINW.

Abstract: This information collection is required to satisfy the requirements of section 15B<sup>1</sup> and section 15C<sup>2</sup> of the Securities Exchange Act of 1934 which require, in part, any national bank or Federal savings association that acts as a government securities broker/dealer or a municipal securities dealer to file the appropriate form with the OCC to inform the agency of its broker/dealer activities. The OCC uses this information to determine which national banks and Federal savings associations are acting as government and municipal securities broker/dealers and to monitor entry into and exit from government and municipal securities broker/dealer activities by institutions and registered persons. The OCC also uses the information in planning national bank and Federal savings association examinations.

Type of Review: Renewal of a currently approved collection. The collection has not changed. The OCC asks only that OMB approve its revised estimates and extend its approval of the forms, revised only to add a clarification to the instructions.

Affected Public: Businesses or other for-profit; individuals.

Estimated Number of Respondents: 24.

Estimated Total Annual Responses: 920.

---

<sup>1</sup> 15 U.S.C. 78o-4.

<sup>2</sup> 15 U.S.C. 78o-5.

Frequency of Response: On occasion.

Estimated Total Annual Burden: 867.25 burden hours.

Comments: The OCC issued a 60-day *Federal Register* notice on February 8, 2013.

78 FR 9452. No comments were received. Comments continue to be solicited on:

(a) Whether the collection of information is necessary for the proper performance of the functions of the OCC, including whether the information has practical utility;

(b) The accuracy of the OCC's estimate of the information collection burden;

(c) Ways to enhance the quality, utility, and clarity of the information to be collected;

(d) Ways to minimize the burden of the collection on respondents, including through the use of automated collection techniques or other forms of information technology; and

(e) Estimates of capital or start-up costs and costs of operation, maintenance, and purchase of services to provide information.

Dated: April 11, 2013

---

Michele Meyer,  
Assistant Director, Legislative & Regulatory Activities Division.

[FR Doc. 2013-08951 Filed 04/16/2013 at 8:45 am; Publication Date: 04/17/2013]