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## **DEPARTMENT OF THE TREASURY**

### **Office of the Comptroller of the Currency**

### **FEDERAL DEPOSIT INSURANCE CORPORATION**

### **Information Collection Renewal; Comment Request; Transfer Agent Registration and Amendment Form**

**AGENCIES:** Office of the Comptroller of the Currency (OCC), Treasury; and Federal Deposit Insurance Corporation (FDIC)

**ACTION:** Joint Notice and Request for Comment.

**SUMMARY:** The OCC and FDIC, as part of their continuing effort to reduce paperwork and respondent burden, invite 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.

Under the Paperwork Reduction Act of 1995 (PRA), Federal agencies are required to publish notice in the Federal Register concerning each proposed collection of information, including each proposed extension of an existing collection of information and to allow 60 days for public comment in response to the notice.

In accordance with the requirements of the PRA, the OCC and FDIC may not conduct or sponsor, and the respondent is not required to respond to, an information collection unless it displays a currently valid Office of Management and Budget (OMB) control number.

The OCC and FDIC are soliciting comment concerning renewal of its information collection titled, "Transfer Agent Registration and Amendment Form."

**DATES:** Comments must be submitted on or before [INSERT DATE 60 DAYS FROM DATE OF PUBLICATION IN THE FEDERAL REGISTER].

## **ADDRESSES:**

OCC: 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: 1557-0124, 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.

FDIC: You may submit comments, which should refer to “Transfer Agent Registration and Amendment Form, 3064-0026” by any of the following methods:

- <http://www.FDIC.gov/regulations/laws/federal/notices.html>.
- E-mail: [comments@FDIC.gov](mailto:comments@FDIC.gov). Include “Transfer Agent Registration and Amendment Form, 3064-0026” in the subject line of the message.
- Mail: Gary A. Kuiper (202.898.3877), Attn: Comments, Federal Deposit Insurance Corporation, 550 17th Street, NW., NYA-5046, Washington, DC 20429.

- Hand Delivery: Comments may be hand delivered to the guard station at the rear of the 550 17th Street Building (located on F Street) on business days between 7 a.m. and 5 p.m.

Public Inspection: All comments received will be posted without change to <http://www.fdic.gov/regulations/laws/federal/notices.html> including any personal information provided.

**FOR FURTHER INFORMATION CONTACT:** For further information about the information, collection discussed in this notice, please contact any of the agency clearance officers whose names appear below.

OCC: Johnny Vilela or Mary H. Gottlieb, OCC Clearance Officers, (202) 649-5490, Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 400 7<sup>th</sup> Street, SW., Suite 3E-218, Mail Stop 9W-11, Washington, DC 20219.

FDIC: Gary A. Kuiper, 202-898-3877, Legal Division, Federal Deposit Insurance Corporation, 550 17th Street, NW., Washington, DC 20429.

**SUPPLEMENTARY INFORMATION:** Under the PRA (44 U.S.C. 3501-3520), Federal agencies must obtain approval from the Office of Management and Budget (OMB) for each collection of information they conduct or sponsor. "Collection of information" is defined in 44 U.S.C. 3502(3) and 5 CFR 1320.3(c) to include agency requests or requirements that members of the public submit reports, keep records, or provide information to a third party. Section 3506(c)(2)(A) of the PRA (44 U.S.C. 3506(c)(2)(A)) requires Federal agencies to provide a 60-day notice in the Federal Register concerning each proposed collection of information, including each proposed extension of an existing collection of information, before submitting the collection to

OMB for approval. To comply with this requirement, the OCC and FDIC are publishing notice of the proposed collection of information set forth in this document.

The OCC and FDIC are proposing to extend for three years, without revision, the uniform interagency Transfer Agent Registration and Amendment Form.

*Report Title:* Transfer Agent Registration and Amendment Form.

*Form Number:* TA-1.

*Frequency of Response:* On occasion.

*Affected Public:* Business or other for-profit.

*Estimated Time per Response:* 1.25 hours: registration, 10 minutes: amendment.

**OCC:**

*OMB Number:* 1557-0124.

*Estimated Number of Respondents:* 2 registrations, 15 amendments.

*Estimated Total Annual Burden:* 6 hours.

**FDIC:**

*OMB Number:* 3064-0026.

*Estimated Number of Respondents:* 2 registrations, 13 amendments.

*Estimated Total Annual Burden:* 5 hours.

**Abstract**

The Securities Exchange Act of 1934 (the Act) requires any person acting as a transfer agent to register as such and to amend registration information when it changes. Section 17A(c) of the Act requires all transfer agents for securities registered under section 12 of the Act to register “by filing with the appropriate regulatory agency

. . . an application for registration in such form and containing such information and documents . . . as such appropriate regulatory agency may prescribe as necessary or appropriate in furtherance of the purposes of this section.” In general, an entity performing transfer agent functions for a security is required to register if the security is registered on a national securities exchange and if the issuer has total assets of \$10 million or more and a class of equity security held of record by 500 or more persons.

### **General Description of Reports**

This information collection is mandatory pursuant to Sections 17A(c), 17(a)(3), and 23(a) of the Act, as amended (15 U.S.C. §§ 78q-1(c), 78q(a)(3), and 78w(a)) (FDIC). Sections 12, 13, 14(a), 14(c), 14(d), 14(f), and 16 of the Act, as amended (15 U.S.C. 781, 78m, 78n(a), 78n(c), 78n(d), 78n(f), and 78p (OCC). Additionally, § 341.3 of the FDIC’s Rules and Regulations implement the provisions of the Act. The registrations are public filings and are not considered confidential.

### **Request for Comment**

The Agencies invite comment on:

- (a) Whether the collections of information are necessary for the proper performance of the Agencies’ functions, including whether the information has practical utility;
- (b) The accuracy of the Agencies’ estimates of the burden of the information collections, including the validity of the methodology and assumptions used;
- (c) Ways to enhance the quality, utility, and clarity of the information to be collected; and

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

Comments submitted in response to this notice will be shared among the Agencies. All comments will become a matter of public record.

Dated: April 26, 2013

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**Michele Meyer,**  
*Assistant Director, Legislative and Regulatory Activities Division,  
Office of the Comptroller of the Currency*

Dated at Washington, D.C., this 17th day of April, 2013.

FEDERAL DEPOSIT INSURANCE CORPORATION

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Robert E. Feldman  
Executive Secretary

**Billing Codes**  
OCC: 4810-33-P  
FDIC: 6714-01-P

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