

requirements prescribed by NYSE Rule 345A(a).

Firm Element—NYSE Rule 345A(b)

NYSE Rule 345A(b) addresses a member or member organization's responsibilities under the Firm Element of the Continuing Education program. The Firm Element requires that each member or member organization develop an analysis of their training needs and develop a written training plan, evaluated and updated annually, designed to enhance the securities knowledge, skill, and professionalism of certain "covered registered persons." "Covered registered persons" include any registered person who has direct contact with customers in the conduct of the member's or member organization's securities sale, trading or investment banking activities, and the immediate supervisors of such persons. At a minimum, the plan must take into consideration the member or member organization's size, organizational structure and scope of business activities, as well as registered persons' Regulatory Element performance.

Specific violations of NYSE Rule 345A(b) subject to penalty under NYSE Rule 476A include:

- Failure of a "covered registered person" to take appropriate and reasonable steps to participate in a continuing education program as prescribed by NYSE Rule 345A(b) (Firm Element).
- Failure of a member or member organization to adequately ensure that a "covered registered person" participates in a continuing education program prescribed by NYSE Rule 345A(b).
- Failure of a member or member organization to annually analyze their training needs as prescribed by NYSE Rule 345A(b) and to update their written training plan accordingly.
- Failure of a member or member organization to develop, administer, and maintain appropriate records for a written training plan as prescribed by NYSE Rule 345A(b).

(iii) NYSE Rule 440A ("Telephone Solicitation")

Violations subject to the provisions of 476A would include:

- Making a telephone call to the residence of a person for the purpose of soliciting the purchase of securities or related services at any time other than between 8 a.m. and 9 p.m. local time. [NYSE Rule 440A(a)]
- Making a telephone call to the residence of a person for the purpose of soliciting the purchase of securities or related services but failing to promptly and clearly disclose the identity of the

caller and member organization, the telephone number at which the caller may be contacted, and the purpose of the call. [NYSE Rule 440A(b)]

- Failure of a member or member organization to make and/or maintain a centralized list of persons who have informed the member, member organization or any employee thereof, that they do not wish to receive telephone solicitations. [NYSE Rule 440A(d)]
- Failure to obtain a customer's express written authorization on a negotiable instrument obtained from the customer as payment for the purchase of securities and/or to maintain such authorization for a period of three years. [NYSE Rule 440A(e)]

(iv) NYSE Rule 472 ("Communications with the Public")

NYSE Rule 472(c), which is currently on the NYSE Rule 476A Violations List, requires that certain communications with customers or the public be retained in accordance with NYSE Rule 440 ("Books and Records"). This requirement encompasses telemarketing scripts.

2. Statutory Basis

The Exchange represents that the proposed rule change will advance the objectives of Section 6(b)(6) of the Act⁷ in that it will provide a procedure whereby member organizations can be "appropriately disciplined" in those instances where a rule violation is minor in nature, but a sanction more serious than a warning or a cautionary letter is appropriate. The proposed rule change provides a fair procedure for imposing such sanctions, in accordance with the requirements of Sections 6(b)(7)⁸ and 6(d)(1)⁹ of the Act.

B. Self-Regulatory Organization's Statement on Burden on Competition

The Exchange does not believe that the proposed rule change will impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

The Exchange has neither solicited nor received written comments on the proposed rule change.

⁷ 15 U.S.C. 78f(b)(6).

⁸ 15 U.S.C. 78f(b)(7).

⁹ 15 U.S.C. 78f(d)(1).

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

Within 35 days of the date of publication of this notice in the **Federal Register** or within such longer period (i) as the Commission may designate up to 90 days of such date if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the self-regulatory organization consents, the Commission will:

(A) by order approve such proposed rule change, or

(B) institute proceedings to determine whether the proposed rule change should be disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Persons making written submissions should file six copies thereof with the Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for inspection and copying in the Commission's Public Reference Room. Copies of such filing will also be available for inspection and copying at the principal office of the NYSE. All submissions should refer to File No. SR-NYSE-99-38 and should be submitted by January 10, 2000.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.¹⁰

Margaret H. McFarland,
Deputy Secretary.

[FR Doc. 99-32820 Filed 12-17-99; 8:45 am]

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SOCIAL SECURITY ADMINISTRATION

Agency Information Collection Activities: Comment Request

In compliance with Pub. L. 104-13, the Paperwork Reduction Act of 1995, SSA is providing notice of its

¹⁰ 17 CFR 200.30-3(a)(12).

information collections that require submission to the Office of Management and Budget (OMB). SSA is soliciting comments on the accuracy of the agency's burden estimate; the need for the information; its practical utility; ways to enhance its quality, utility and clarity; and on ways to minimize burden on respondents, including the use of automated collection techniques or other forms of information technology.

The information collections listed below have been submitted to OMB for clearance. Written comments and recommendations on the information collections would be most useful if received within 30 days from the date of this publication. Comments should be directed to the SSA Reports Clearance Officer and the OMB Desk Officer at the addresses listed after this publication. You can obtain a copy of the OMB clearance packages by calling the SSA Reports Clearance Officer on (410) 965-4145, or by writing to him.

1. Worker's Compensation Letter (SSA-L1708), Worker Compensation Questionnaire (SSA-1708)—0960-NEW. A review of SSA records revealed that beneficiaries receiving disability benefits, who were first placed in worker's compensation offset, have an extremely high potential for payment error, because an increase in or expiration of worker's compensation was not reported for/by such beneficiaries. Therefore, SSA is proposing to test a new form that collects information on changes in WC status. The information collected will be used to evaluate whether this is an effective method of detecting changes in workers compensation payments and determining payment accuracy. The respondents are a random sample of beneficiaries receiving disability benefits with workers compensation offset.

Number of Respondents: 200.

Frequency of Response: 1.

Average Burden Per Response: 10 minutes.

Estimated Annual Burden: 33 hours.

2. Payee Interview (SSA-835), Beneficiary Interview (SSA-836), Custodian Interview (SSA-837)—0960-0588. SSA is conducting a three-tier review process of the representative payee program. As part of this review process, SSA will conduct interviews with title II Disability Insurance and title XVI Supplemental Security Income recipients and their representative payees. The information obtained on the interview forms will be used to assess the effectiveness of the policies and procedures that govern the postentitlement selection and appointment of the approximately 7 million payees in the title II and title XVI programs.

	SSA-835	SSA-836	SSA-837
Number of Respondents	1,000	500	190
Frequency of Response	1	1	1
Average Burden Per Response (Minutes)	20	15	10
Estimated Annual Burden (Hours)	333	125	32

(SSA Address)

Social Security Administration,
DCFAM, Attn: Frederick W.
Brickenkamp, 6401 Security Blvd., 1-
A-21 Operations Bldg., Baltimore,
MD 21235.

(OMB Address)

Office of Management and Budget,
OIRA, Attn: OMB Desk Officer for
SSA, New Executive Office Building,
Room 10230, 725 17th St., NW,
Washington, D.C. 20503.

Dated: December 14, 1999.

Frederick W. Brickenkamp,

*Reports Clearance Officer, Social Security
Administration*

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Living Resources (CCAMLR), of which the United States is a member, adopted conservation measures, pending countries' approval, pertaining to fishing in the CCAMLR Convention Area in Antarctic waters. All the measures were agreed upon in accordance with Article IX of the Convention for the Conservation of Antarctic Marine Living Resources. A key result was the adoption of a conservation measure which provides for a comprehensive catch documentation scheme for the potentially threatened toothfish. Other measures adopted restrict overall catches of certain species of fish and crabs, restrict fishing in certain areas, specify inspection obligations supporting the Catch Documentation Scheme of Contracting Parties, and promote compliance with CCAMLR measures by non-Contracting Party vessels. This notice includes the full text of the conservation measures adopted at the eighteenth meeting of CCAMLR. For all of the Conservation Measures in force, see the CCAMLR website (www.ccamlr.org). This notice, therefore, together with the U.S. regulations referenced under the Supplementary Information provides a comprehensive register of all current U.S. obligations under CCAMLR.

DATES: Persons wishing to comment on the measures or desiring more information should submit written comments on or before January 19, 2000.

FOR FURTHER INFORMATION CONTACT:

Erica Keen Thomas, Office of Oceans Affairs (OES/OA), Room 5805, Department of State, Washington, DC 20520; 202-647-3262.

SUPPLEMENTARY INFORMATION:

Individuals interested in CCAMLR should also see 15 CFR Chapter III—International Fishing and Related Activities, Part 300—International Fishing Regulations, Subpart A—General; Subpart B—High Seas Fisheries; and Subpart G—Antarctic Marine Living Resources, for other regulatory measures related to conservation and management in the CCAMLR Convention area. Subpart B notes the requirements for high seas fishing vessel licensing. Subparts A and G describe the process for regulating U.S. fishing in the CCAMLR Convention area and contain the text of CCAMLR Conservation Measures that are not expected to change from year to year. The regulations in Subparts A and G include sections on: Purpose and scope; Definitions; Relationship to other treaties, conventions, laws, and regulations; Procedure for according

DEPARTMENT OF STATE

[Public Notice 3178]

New Conservation Measures for Antarctic Fishing Under the Auspices of CCAMLR

ACTION: Notice.

SUMMARY: At its Eighteenth Meeting in Hobart, Tasmania, October 25 to November 5, 1999, the Commission for the Conservation of Antarctic Marine