

Dated: October 16, 2001.

**James D. Watkins,**

*Chairman, Commission on Ocean Policy.*

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## RAILROAD RETIREMENT BOARD

### Proposed Data Collection Available for Public Comment and Recommendations

**SUMMARY:** In accordance with the requirement of Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995 which provides opportunity for public comment on new or revised data collections, the Railroad Retirement Board will publish periodic summaries of proposed data collections.

*Comments are invited on:* (a) Whether the proposed information collection is necessary for the proper performance of the functions of the agency, including whether the information has practical utility; (b) the accuracy of the RRB's estimate of the burden of the collection

of the information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden related to the collection of information on respondents, including the use of automated collection techniques or other forms of information technology.

### Title and Purpose of Information Collection

#### *Railroad Separation Allowance or Severance Pay Report*

Section 6 of the Railroad Retirement Act provides for a lump-sum payment to an employee or the employee's survivors equal to the Tier II taxes paid by the employee on a separation allowance or severance payment for which the employee did not receive credits toward retirement. The lump-sum is not payable until retirement benefits begin to accrue or the employee dies. Also, Section 4(a-1)(iii) of the Railroad Unemployment Insurance Act provides that a railroad employee who is paid a separation allowance is

disqualified for unemployment and sickness benefits for the period of time the employee would have to work to earn the amount of the allowance. In order to calculate and provide payments, the Railroad Retirement Board (RRB) must collect and maintain records of separation allowances and severance payments which were subject to Tier II taxation from railroad employers. The RRB uses Form BA-9 to obtain, on a quarterly basis, the information needed from railroad employers concerning the separation allowances and severance payments made to railroad employees and/or the survivors of railroad employees. All reports contain a one-line entry for each such payment or adjustment. Completion is mandatory. Responses are requested quarterly. The RRB proposes non-burden impacting editorial changes to Form BA-9.

### Estimate of Annual Respondent Burden

The estimated annual respondent burden is as follows:

| Form # | Annual responses | Time (min) | Burden (hrs) |
|--------|------------------|------------|--------------|
| BA-9   | 1,009            | 75         | 1,262        |

### Additional Information or Comments

To request more information or to obtain a copy of the information collection justification, forms, and/or supporting material, please call the RRB Clearance Officer at (312) 751-3363. Comments regarding the information collection should be addressed to Ronald J. Hodapp, Railroad Retirement Board, 844 N. Rush Street, Chicago, Illinois 60611-2092. Written comments should be received within 60 days of this notice.

**Chuck Mierzwa,**

*Clearance Officer.*

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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 45, SEC File No. 270-164, OMB

Control No. 3235-0154

Rule 52, SEC File No. 270-326, OMB

Control No. 3235-0369  
Rule 53, SEC File No. 270-376, OMB  
Control No. 3235-0426  
Rule 54, SEC File No. 270-376, OMB  
Control No. 3235-0427  
Rule 57(b) and Form U-33-S, SEC  
File No. 270-376, OMB Control No.  
3235-0429  
Rule 58 and Form U-9C-3, SEC File  
No. 270-400, OMB Control No.  
3235-0457  
Rule 71, Form U-12(I)-A, and Form  
U-12(I)-B, SEC File No. 270-161,  
OMB Control No. 3235-0173  
Part 257, SEC File No. 270-252, OMB  
Control No. 3235-0306

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 requests for extension of the previously approved collections of information, under the Public Utility Holding Company Act of 1935 (Act), as discussed below.

Rule 45 imposes a filing requirement on registered holding companies and their subsidiaries under Section 12(b) of the Act. Under the requirement, the companies must file a declaration seeking authority to make loans or otherwise extend credit to other

companies in the same holding company system. Among others, the rule exempts from the filing requirement the performance of payment obligations under consolidated tax agreements. The 15 recordkeepers together incur about 46 annual burden hours to comply with these requirements.

There is no recordkeeping requirement for this information collection. Companies that are subject to Rule 45 are under a mandatory duty to provide the Commission with the required information. There is no requirement to keep the information confidential because it is public information.

Rule 52 permits public utility subsidiary companies of registered holding companies to issue and sell certain securities without filing a declaration if certain conditions are met. The Commission estimates that the total annual reporting and recordkeeping burden of collection under Rule 52 is 33 hours (33 responses × one hour = 33 burden hours).

There is no recordkeeping requirement for this information collection. It is mandatory that qualifying companies provide the information required by Rule 52. There is no requirement to keep to information