

concern market dominant product(s), applicable statutory and regulatory requirements include 39 U.S.C. 3622, 39 U.S.C. 3642, 39 CFR part 3030, and 39 CFR part 3040, subpart B. For request(s) that the Postal Service states concern competitive product(s), applicable statutory and regulatory requirements include 39 U.S.C. 3632, 39 U.S.C. 3633, 39 U.S.C. 3642, 39 CFR part 3035, and 39 CFR part 3040, subpart B. Comment deadline(s) for each request appear in section II.

II. Docketed Proceeding(s)

1. *Docket No(s)*: MC2020–132 and CP2020–139; *Filing Title*: USPS Request to Add Priority Mail & First-Class Package Service Contract 147 to Competitive Product List and Notice of Filing Materials Under Seal; *Filing Acceptance Date*: May 12, 2020; *Filing Authority*: 39 U.S.C. 3642, 39 CFR 3040.130 *et seq.*, and 39 CFR 3035.105; *Public Representative*: Kenneth R. Moeller; *Comments Due*: May 20, 2020.

2. *Docket No(s)*: MC2020–133 and CP2020–140; *Filing Title*: USPS Request to Add Priority Mail Contract 615 to Competitive Product List and Notice of Filing Materials Under Seal; *Filing Acceptance Date*: May 12, 2020; *Filing Authority*: 39 U.S.C. 3642, 39 CFR 3040.130 *et seq.*, and 39 CFR 3035.105; *Public Representative*: Gregory S. Stanton; *Comments Due*: May 20, 2020.

This Notice will be published in the **Federal Register**.

Erica A. Barker,
Secretary.

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–88863; File No. SR–NYSE–2019–54]

Self-Regulatory Organizations; New York Stock Exchange LLC; Notice of Withdrawal of a Proposed Rule Change To Permit the Exchange To List and Trade Exchange Traded Products

May 13, 2020.

On October 3, 2019, New York Stock Exchange LLC (“Exchange”) filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”) ¹ and Rule 19b–4 thereunder, ² a proposed rule change to list and trade Exchange Traded Products that have a component

NMS Stock listed on the Exchange or that are based on, or represent an interest in, an underlying index or reference asset that includes an NMS Stock listed on the Exchange. The proposed rule change was published for comment in the **Federal Register** on October 23, 2019.³

On December 5, 2019, pursuant to Section 19(b)(2) of the Act,⁴ the Commission designated a longer period within which to approve the proposed rule change, disapprove the proposed rule change, or institute proceedings to determine whether to disapprove the proposed rule change.⁵ On January 17, 2020, the Commission instituted proceedings under Section 19(b)(2)(B) of the Act⁶ to determine whether to approve or disapprove the proposed rule change.⁷ On April 17, 2020, the Commission designated a longer period for Commission action on proceedings to determine whether to approve or disapprove the proposed rule change.⁸ On May 13, 2020, the Exchange withdrew the proposed rule change (SR–NYSE–2019–54).

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.⁹

J. Matthew DeLesDernier,

Assistant Secretary.

[FR Doc. 2020–10652 Filed 5–18–20; 8:45 am]

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SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–88866]

Order Designating Financial Industry Regulatory Authority, Inc., To Receive Form X–17A–5 (FOCUS Report) From Certain Security-Based Swap Dealers and Major Security-Based Swap Participants

May 14, 2020.

I. Introduction

Currently, broker-dealers are required to file on a monthly or quarterly basis various parts (Part II, Part IIB, Part II CSE, or Part IIA) of Form X–17A–5 (“FOCUS Report”), a form which is used to report financial and operational information. On September 19, 2019,

the Commission adopted recordkeeping, reporting, and notification requirements for security-based swap dealers and major security-based swap participants (collectively, “security-based swap entities” or “SBSEs”) and additional recordkeeping and reporting requirements for broker-dealers to account for their security-based swap activities.¹ In adopting these requirements, the Commission amended Part II of the FOCUS Report to elicit additional information about the security-based swap activities of broker-dealers that file Part II, including broker-dealers that will also be registered as SBSEs. In addition, the Commission adopted amendments that will require the broker-dealers that currently file Part IIB and Part II CSE to file revised Part II. Further, the Commission adopted a rule (“Rule 18a–7”) pursuant to Section 15F of the Securities Exchange Act of 1934 (“Exchange Act”) that will require SBSEs that are not also registered with the Commission as broker-dealers or regulated by a prudential regulator (“stand-alone SBSEs”) to file Part II of the FOCUS Report on a monthly basis and SBSEs for which there is a prudential regulator (“bank SBSEs”) to file new Part IIC of the FOCUS Report on a quarterly basis.² The compliance date for these entities to file revised Part II or new Part IIC of the FOCUS Report is October 6, 2021.³

Most broker-dealers currently file the FOCUS Report electronically on the eFOCUS system⁴ developed by the Financial Industry Regulatory Authority, Inc. (“FINRA”). These broker-dealers file the FOCUS Report pursuant to a plan established by the broker-dealer’s self-regulatory organization (“SRO”), the procedures and provisions of which have been submitted to and declared effective by the Commission pursuant to paragraph (a)(3) of Exchange Act Rule 17a–5.⁵

¹ See *Recordkeeping and Reporting Requirements for Security-Based Swap Dealers, Major Security-Based Swap Participants, and Broker-Dealers*, Securities Exchange Act Release No. 87005 (Sept. 19, 2019), 84 FR 68550 (Dec. 16, 2019) (“Recordkeeping Adopting Release”).

² See 17 CFR 240.18a–7(a)(1) (applicable to stand-alone SBSEs); 17 CFR 240.18a–7(a)(2) (applicable to bank SBSEs). Revised Part II of the FOCUS Report is available on pages 68672–68721 of the Recordkeeping Adopting Release. New Part IIC of the FOCUS Report is available on pages 68722–68733 of the Recordkeeping Adopting Release.

³ See *Recordkeeping Adopting Release*, 84 FR at 68600–601; *Cross-Border Application of Certain Security-Based Swap Requirements*, Exchange Act Release No. 87780 (Dec. 18, 2019), 85 FR 6270 (Feb. 4, 2020).

⁴ FINRA’s eFOCUS system is available at <https://www.finra.org/filing-reporting/efocus>.

⁵ See 17 CFR 240.17a–5(a)(3).

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b–4.

³ See Securities Exchange Act Release No. 87329 (Oct. 17, 2019), 84 FR 56864.

⁴ 15 U.S.C. 78s(b)(2).

⁵ See Securities Exchange Act Release No. 87671, 84 FR 67763 (Dec. 11, 2019).

⁶ 15 U.S.C. 78s(b)(2)(B).

⁷ See Securities Exchange Act Release No. 88003, 85 FR 4051 (Jan. 23, 2020).

⁸ See Securities Exchange Act Release No. 88677, 85 FR 22767 (Apr. 23, 2020).

⁹ 17 CFR 200.30–3(a)(12).