9. Redesignate Title 15, part 1170 as Title 15, part 273 and transfer to Chapter II, Subchapter I.

10. Newly redesignated § 273.3 is amended by revising paragraph (a) to read as follows:

§ 273.3 General policy.
* * * * *
(a) The Director of the National Institute of Standards and Technology will assist in coordinating the efforts of Federal agencies in meeting their obligations under the Metric Conversion Act, as amended.
* * * * *

Title 37—Patents, Trademarks, and Copyrights

11. The heading of Title 37, Chapter IV is revised to read as follows:

CHAPTER IV—NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY, DEPARTMENT OF COMMERCE

PART 401—RIGHTS TO INVENTIONS MADE BY NONPROFIT ORGANIZATIONS AND SMALL BUSINESS FIRMS UNDER GOVERNMENT GRANTS, CONTRACTS, AND COOPERATIVE AGREEMENTS

12. The authority citation for Title 37, part 401 is revised to read as follows:

Authority: 35 U.S.C. 206; DOO 30–2A.

13. Section 401.2 is amended by revising paragraph (j) to read as follows:

§ 401.2 Definitions.
* * * * *
(j) The term Secretary means the Director of the National Institute of Standards and Technology.
* * * * *

14. Section 401.17 is revised to read as follows:

§ 401.17 Submissions and inquiries.

All submissions or inquiries should be directed to the Chief Counsel for NIST, National Institute of Standards and Technology, 100 Bureau Drive, Mail Stop 1052, Gaithersburg, Maryland 20899–1052; telephone: (301) 975–2803; email: nistcounsel@nist.gov.

PART 404—LICENSING OF GOVERNMENT OWNED INVENTIONS

15. The authority citation for Title 37, part 404 is revised to read as follows:


CHAPTER V—UNDER SECRETARY FOR TECHNOLOGY, DEPARTMENT OF COMMERCE

16. Title 37, parts 500–599 are transferred from Title 37, Chapter V, to Title 37, Chapter IV.

17. Title 37, Chapter V is removed and reserved.

PART 501—UNIFORM PATENT POLICY FOR RIGHTS IN INVENTIONS MADE BY GOVERNMENT EMPLOYEES

18. The authority citation for Title 37, part 501 is revised to read as follows:


19. Section 501.3 is amended by revising paragraph (a) to read as follows:

§ 501.3 Definitions.

(a) The term Secretary, as used in this part, means the Director of the National Institute of Standards and Technology.
* * * * *

20. Section 501.11 is revised to read as follows:

§ 501.11 Submissions and inquiries.

All submissions or inquiries should be directed to the Chief Counsel for NIST, National Institute of Standards and Technology, 100 Bureau Drive, Mail Stop 1052, Gaithersburg, MD 20899–1052; telephone: (301) 975–2803; email: nistcounsel@nist.gov.

1. The general authority citation for part 200, subsection A is revised, and a sectional authority for § 200.312 is added to part 200, subsection A in numerical order, to read as follows:

Authority: 15 U.S.C. 77o, 77s, 77sss, 78d, 78d–1, 78d–2, 78w, 78ll(d), 78nn, 80a–37, 80b–11, 7202, and 7211 et seq., unless otherwise noted.
* * * * *

Section 200.312 is also issued under 5 U.S.C. 552a(k).
* * * * *


Elizabeth M. Murphy,
Secretary.

SECURITIES AND EXCHANGE COMMISSION

17 CFR Part 200


Authority Citation Correction

AGENCY: Securities and Exchange Commission.

ACTION: Final rule; technical amendment.

SUMMARY: On August 6, 2010 and September 16, 2011, the Securities and Exchange Commission ("Commission") published documents in the Federal Register (75 FR 47449 and 76 FR 57637, respectively) that each included an inaccurate amendatory instruction pertaining to an authority citation. The Commission is publishing this technical amendment to accurately reflect the authority citation in the Code of Federal Regulations.

DATES: Effective Date: January 23, 2013.

FOR FURTHER INFORMATION CONTACT: Linda Cullen, Office of the Secretary, at (202) 551–5402; Securities and Exchange Commission, 100 F Street NE., Washington, DC 20549–1090.

SUPPLEMENTARY INFORMATION: The final rules that are subject to this correction included inaccurate amendatory instructions that resulted in the publication of two Editorial Notes to Part 200. This document is intended only to correct the authority citation to subpart A of Part 200 and remove the two Editorial Notes and does not affect any other aspects of the two original final rules.

List of Subjects in 17 CFR Part 200

Administrative practice and procedure, Authority delegations (Government agencies), Organization and functions (Government agencies), Privacy.

Accordingly, Title 17, Chapter II of the Code of Federal Regulations is amended as follows:

PART 200—ORGANIZATION; CONDUCT AND ETHICS; AND INFORMATION AND REQUESTS

17 CFR Parts 232, 239, 249, 269, 274

[Release Nos. 33–9382; 34–68644; 39–2488; IC–30348]

Adoption of Updated EDGAR Filer Manual

AGENCY: Securities and Exchange Commission.

ACTION: Final rule.

SUMMARY: The Securities and Exchange Commission (the Commission) is
adoption of electronic filing. The EDGAR system will be updated to allow filers to submit, on a voluntary basis, submission types 497AD, 40–17G, 40–17G/A, 40–17GCS, 40–17GCS/A, 40–24B, 40–24B/A in Portable Document Format (PDF) as an official filing format. EDGAR will continue to accept ASCII and HTML as official filing formats for these submissions.

The new online version of Form N–SAR deployment has been delayed to April 2013. The specific deployment date will be announced on the Commission’s public Web site’s “Information for EDGAR Filers” page (http://www.sec.gov/info/edgar.shtml). Filers should continue to use the EDGAR Filer Manual, Volume III: N–SAR Supplement to file their N–SAR submissions. When the online version of Form N–SAR is deployed, EDGAR Filer Manual, Volume III: N–SAR Supplement will be retired. Instructions to file the online version of Form N–SAR addressed in Chapter 9 of EDGAR Filer Manual, Volume II: EDGAR Filing should then be followed.

Along with the adoption of the Filer Manual, we are amending Rule 301 of Regulation S–T to provide for the incorporation by reference into the Code of Federal Regulations of today’s revisions. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51.

You may obtain paper copies of the updated Filer Manual at the following address: Public Reference Room, U.S. Securities and Exchange Commission, 100 F Street NE., Room 1543, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. We will post electronic format copies on the Commission’s Web site; the address for the Filer Manual is http://www.sec.gov/info/edgar.shtml.

Since the Filer Manual and the corresponding rule changes relate solely to agency procedures or practice, publication for notice and comment is not required under the Administrative Procedure Act (APA). It follows that the requirements of the Regulatory Flexibility Act do not apply.

The effective date for the updated Filer Manual and the rule amendments is January 23, 2013. In accordance with the APA, we find that there is good cause to establish an effective date less than 30 days after publication of these rules. The EDGAR system upgrade to Release 13.0 is scheduled to become available on January 14, 2013. The Commission believes that establishing an effective date less than 30 days after publication of these rules is necessary to coordinate the effectiveness of the updated Filer Manual with the system upgrade.

Statutory Basis
We are adopting the amendments to Regulation S–T under Sections 6, 7, 8, 10, and 19(a) of the Securities Act of 1933, Sections 3, 12, 13, 14, 15, 23, and 35A of the Securities Exchange Act of 1934, Section 319 of the Trust Indenture Act of 1939, and Sections 8, 30, 31, and 38 of the Investment Company Act of 1940.

List of Subjects
17 CFR Part 232
Incorporation by reference, Reporting and recordkeeping requirements, Securities.

17 CFR Parts 239, 249 and 269
Reporting and recordkeeping requirements, Securities.

5 U.S.C. 553(b).
15 U.S.C. 77f, 77g, 77h, 77j, and 77s(a).
15 U.S.C. 78s, 78l, 78m, 78n, 78o, 78p, and 78q.

3 See Release No. 33–9364 (October 15, 2012) [77 FR 62431] in which we implemented EDGAR Release 12.2. For additional history of Filer Manual rules, please see the cites therein.
4 Public Law 112–158.
6 We also are making a technical correction to the instructions of Form ID (referenced in 17 CFR 239.63, 249.446, 269.7 and 274.402) to conform with the new amendments we made to Rules 10 (17 CFR 232.10) and 101 (17 CFR 232.101) of
PART 232—REGULATION S–T—GENERAL RULES AND REGULATIONS FOR ELECTRONIC FILINGS

1. The authority citation for Part 232 continues to read in part as follows:

Authority: 15 U.S.C. 77f, 77g, 77h, 77j, 77s, 77z–2, 77z–3, 77sss, 78c, 78l, 78m, 78n, 78o(d), 78u–5, 78w(a), 78ll, 78mm, 80a–2(a), 80a–3, 80a–8, 80a–9, 80a–10, 80a–13, 80a–24, 80a–26, 80a–29, 80a–30, 80a–37, and 7201 et seq.; and 18 U.S.C. 1350.

2. Section 232.301 is revised to read as follows:


Filers must prepare electronic filings in the manner prescribed by the EDGAR Filer Manual, promulgated by the Commission, which sets out the technical formatting requirements for electronic submissions. The requirements for becoming an EDGAR Filer and updating company data are set forth in the EDGAR Filer Manual, Volume I: “General Information,” Version 14 (October 2012). The requirements for filing on EDGAR are set forth in the updated EDGAR Filer Manual, Volume II: “EDGAR Filing,” Version 22 (January 2013). All of these provisions have been incorporated by reference into the Code of Federal Regulations, which action was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR Part 51. You must comply with these requirements in order for documents to be timely received and accepted. You can obtain paper copies of the EDGAR Filer Manual from the following address: Public Reference Room, U.S. Securities and Exchange Commission, 100 F Street NE., Room 1543, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Electronic copies are available on the Commission’s Web site. The address for the Filer Manual is http://www.sec.gov/info/edgar.shtml. You can also inspect the document at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202–741–6030, or go to: http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html.

PART 239—FORMS PRESCRIBED UNDER THE SECURITIES ACT OF 1933

3. The authority citation for Part 239 continues to read, in part, as follows:

Authority: 15 U.S.C. 77f, 77g, 77h, 77j, 77s, 77z–2, 77z–3, 77sss, 78c, 78l, 78m, 78n, 78o(d), 78u–5, 78w(a), 78ll, 78mm, 80a–2(a), 80a–3, 80a–8, 80a–9, 80a–10, 80a–13, 80a–24, 80a–26, 80a–29, 80a–30, 80a–37, and 7201 et seq.; and 18 U.S.C. 1350.

PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

4. The authority citation for Part 249 continues to read, in part, as follows:

Authority: 15 U.S.C. 78a et seq., and 7201 et seq.; and 18 U.S.C. 1350, unless otherwise noted.

PART 269—FORMS PRESCRIBED UNDER THE TRUST INDENTURE ACT OF 1939

5. The authority citation for Part 269 continues to read as follows:

Authority: 15 U.S.C. 77ddd(c), 77eee, 77ggg, 77hhh, 77iii, 77jjj, 77sss, and 78ll(d), unless otherwise noted.

PART 274—FORMS PRESCRIBED UNDER THE INVESTMENT COMPANY ACT OF 1940

6. The authority citation for Part 274 continues to read, in part, as follows:

Authority: 15 U.S.C. 77f, 77g, 77h, 77j, 77s, 78c(b), 78l, 78m, 78n, 78o(d), 78a–6(c), 80a–8, 80a–29, 80a–30, 80a–37, and 7201 et seq.; and 18 U.S.C. 1350, unless otherwise noted.

7. Form ID (referenced in §§ 239.63, 249.446, 269.7 and 274.402 of this chapter) is amended by revising the fourth paragraph of the section entitled “Using and Preparing Form ID” of the Form ID General Instructions, to read as follows:

[The revised Form ID will not appear in the Code of Federal Regulations]

FORM ID

UNIFORM APPLICATION FOR ACCESS CODES TO FILE ON EDGAR

GENERAL INSTRUCTIONS

USING AND PREPARING FORM ID

The Form ID application must include a Notarized authentication document in PDF format. The application can include other attachments such as a cover letter or Power of Attorney. To assemble the Form ID submission (i.e., associate any attachments with your Form ID application), you must upload them to EDGAR. The PDF document attachment must not contain active content (Actions, embedded JavaScript, etc.), external references (Destinations, Hyperlinks, etc.), and passwords or document security controls.

* * * * *

Dated: January 14, 2013.

By the Commission.

Elizabeth M. Murphy,
Secretary.

[FR Doc. 2013–01058 Filed 1–22–13; 8:45 am]

BILLING CODE 8011–01–P

SECURITIES AND EXCHANGE COMMISSION

17 CFR Part 240

[Release No. 34–68668; File No. S7–11–11]

RIN 3235–AL11

Lost Securityholders and Unresponsive Payees

AGENCY: Securities and Exchange Commission.

ACTION: Final rule.

SUMMARY: The Securities and Exchange Commission (“Commission”) is adopting amendments to Rule 17Ad–17 to implement the requirements of Section 929W of the Dodd-Frank Wall Street Reform and Consumer Protection Act (“Dodd-Frank Act”). That Section added to Section 17A of the Securities Exchange Act of 1934 ("Exchange Act") subsection (g), “Due Diligence for the Delivery of Dividends, Interest, and Other Valuable Property Rights,” which directs the Commission to revise Exchange Act Rule 17Ad–17, “Transfer Agents’ Obligation to Search for Lost Securityholders” to: extend the requirements of Rule 17Ad–17 to search for lost securityholders from only recordkeeping transfer agents to brokers and dealers as well; add a requirement that “paying agents” notify “unresponsive payees” that a paying agent has sent a securityholder a check that has not yet been negotiated; and add certain other provisions. The Commission also is adopting a proposed conforming amendment to Rule 17Ad–7(i) and new Rule 15b1–6, a technical rule to help ensure that brokers and dealers have notice of their new obligations with respect to lost securityholders and unresponsive payees.

DATES: The amendments will become effective on March 25, 2013. The