

## OFFICE OF PERSONNEL MANAGEMENT

### Submission for Review: Representative Payee Survey, RI 38– 115

**AGENCY:** Office of Personnel  
Management.

**ACTION:** 60-Day notice and request for  
comments.

**SUMMARY:** Retirement Services, Office of  
Personnel Management (OPM) offers the  
general public and other federal  
agencies the opportunity to comment on  
an expiring information collection (ICR)  
with minor edits, Representative Payee  
Survey, RI 38–115. This ICR has been  
revised in the following manner: The  
display of the OMB control number and  
an updated edition date.

**DATES:** Comments are encouraged and  
will be accepted until June 1, 2021.

**ADDRESSES:** You may submit comments,  
identified by docket number and/or  
Regulatory Information Number (RIN)  
and title, by the following method:

—*Federal Rulemaking Portal:* <http://www.regulations.gov>. Follow the  
instructions for submitting comments.

All submissions received must  
include the agency name and docket  
number or RIN for this document. The  
general policy for comments and other  
submissions from members of the public  
is to make these submissions available  
for public viewing at <http://www.regulations.gov> as they are  
received without change, including any  
personal identifiers or contact  
information.

**FOR FURTHER INFORMATION CONTACT:** A  
copy of this ICR with applicable  
supporting documentation, may be  
obtained by contacting the Retirement  
Services Publications Team, Office of  
Personnel Management, 1900 E Street,  
NW, Room 3316–L, Washington, DC  
20415, Attention: Cyrus S. Benson, or  
sent via electronic mail to  
[Cyrus.Benson@opm.gov](mailto:Cyrus.Benson@opm.gov) or faxed to  
(202) 606–0910 or via telephone at (202)  
606–4808.

**SUPPLEMENTARY INFORMATION:** As  
required by the Paperwork Reduction  
Act of 1995 (Pub. L. 104–13, 44 U.S.C.  
chapter 35) as amended by the Clinger-  
Cohen Act (Pub. L. 104–106), OPM is  
soliciting comments for this collection  
(OMB No. 3206–0208). The Office of  
Management and Budget is particularly  
interested in comments that:

1. Evaluate whether the proposed  
collection of information is necessary  
for the proper performance of functions  
of OPM, including whether the  
information will have practical utility;

2. Evaluate the accuracy of OPM's  
estimate of the burden of the proposed  
collection of information, including the  
validity of the methodology and  
assumptions used;

3. Enhance the quality, utility, and  
clarity of the information to be  
collected; and

4. Minimize the burden of the  
collection of information on those who  
are to respond, including through the  
use of appropriate automated,  
electronic, mechanical, or other  
technological collection techniques or  
other forms of information technology,  
*e.g.*, permitting electronic submissions  
of responses.

RI 38–115, Representative Payee  
Survey, is used to collect information  
about how the benefits paid to a  
representative payee have been used or  
conserved for the benefit of the  
incompetent annuitant.

### Analysis

*Agency:* Retirement Operations,  
Retirement Services, Office of Personnel  
Management.

*Title:* Representative Payee Survey.

*OMB Number:* 3206–0208.

*Frequency:* Annually.

*Affected Public:* Individuals or  
Households.

*Number of Respondents:* 11,000.

*Estimated Time per Respondent:* 20  
minutes.

*Total Burden Hours:* 3,667.

Office of Personnel Management.

**Alexys Stanley,**

*Regulatory Affairs Analyst.*

[FR Doc. 2021–06789 Filed 4–1–21; 8:45 am]

**BILLING CODE 6325–38–P**

## POSTAL REGULATORY COMMISSION

[Docket Nos. MC2021–79 and CP2021–82]

### New Postal Products

**AGENCY:** Postal Regulatory Commission.

**ACTION:** Notice.

**SUMMARY:** The Commission is noticing a  
recent Postal Service filing for the  
Commission's consideration concerning a  
negotiated service agreement. This  
notice informs the public of the filing,  
invites public comment, and takes other  
administrative steps.

**DATES:** *Comments are due:* April 6,  
2021.

**ADDRESSES:** Submit comments  
electronically via the Commission's  
Filing Online system at <http://www.prc.gov>. Those who cannot submit  
comments electronically should contact  
the person identified in the **FOR FURTHER**

**INFORMATION CONTACT** section by  
telephone for advice on filing  
alternatives.

**FOR FURTHER INFORMATION CONTACT:**  
David A. Trissell, General Counsel, at  
202–789–6820.

### SUPPLEMENTARY INFORMATION:

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- I. Introduction
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#### I. Introduction

The Commission gives notice that the  
Postal Service filed request(s) for the  
Commission to consider matters related  
to negotiated service agreement(s). The  
request(s) may propose the addition or  
removal of a negotiated service  
agreement from the market dominant or  
the competitive product list, or the  
modification of an existing product  
currently appearing on the market  
dominant or the competitive product  
list.

Section II identifies the docket  
number(s) associated with each Postal  
Service request, the title of each Postal  
Service request, the request's acceptance  
date, and the authority cited by the  
Postal Service for each request. For each  
request, the Commission appoints an  
officer of the Commission to represent  
the interests of the general public in the  
proceeding, pursuant to 39 U.S.C. 505  
(Public Representative). Section II also  
establishes comment deadline(s)  
pertaining to each request.

The public portions of the Postal  
Service's request(s) can be accessed via  
the Commission's website (<http://www.prc.gov>). Non-public portions of  
the Postal Service's request(s), if any,  
can be accessed through compliance  
with the requirements of 39 CFR  
3011.301.<sup>1</sup>

The Commission invites comments on  
whether the Postal Service's request(s)  
in the captioned docket(s) are consistent  
with the policies of title 39. For  
request(s) that the Postal Service states  
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.

<sup>1</sup> See Docket No. RM2018–3, Order Adopting  
Final Rules Relating to Non-Public Information,  
June 27, 2018, Attachment A at 19–22 (Order No.  
4679).

## II. Docketed Proceeding(s)

1. *Docket No(s)*: MC2021–79 and CP2021–82; *Filing Title*: USPS Request to Add First-Class Package Service Contract 115 to Competitive Product List and Notice of Filing Materials Under Seal; *Filing Acceptance Date*: March 29, 2021; *Filing Authority*: 39 U.S.C. 3642, 39 CFR 3040.130 through 3040.135, and 39 CFR 3035.105; *Public Representative*: Maya Moore; *Comments Due*: April 6, 2021.

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

Jennie L. Jbara,

*Alternate Certifying Officer.*

[FR Doc. 2021–06820 Filed 4–1–21; 8:45 am]

BILLING CODE 7710–FW–P

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–91429; File No. SR–DTC–2021–004]

### Self-Regulatory Organizations; The Depository Trust Company; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend the Recovery & Wind-Down Plan

March 29, 2021.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)<sup>1</sup> and Rule 19b–4 thereunder,<sup>2</sup> notice is hereby given that on March 23, 2021, The Depository Trust Company (“DTC”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I, II and III below, which Items have been prepared by the clearing agency. DTC filed the proposed rule change pursuant to Section 19(b)(3)(A) of the Act<sup>3</sup> and Rule 19b–4(f)(4) thereunder.<sup>4</sup> The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

#### I. Clearing Agency’s Statement of the Terms of Substance of the Proposed Rule Change

The proposed rule change<sup>5</sup> consists of amendments to the R&W Plan to (i) reflect business and product developments, (ii) make certain changes to improve the clarity of the Plan, (iii)

remove provisions covering certain “business-as-usual” actions, and (iv) make certain technical corrections, as described in greater detail below.

#### II. Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the clearing agency included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The clearing agency has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

##### (A) Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

###### 1. Purpose

The proposed rule change would amend the R&W Plan to (i) reflect business and product developments, (ii) make certain changes to improve the clarity of the Plan, (iii) remove provisions covering certain “business-as-usual” actions, and (iv) make certain technical corrections. Each of the proposed revisions is further described below.

###### Background

The R&W Plan was adopted in August 2018<sup>6</sup> and is maintained by DTC for compliance with Rule 17Ad–22(e)(3)(ii) under the Act.<sup>7</sup> The R&W Plan sets forth the plan to be used by the Board and DTC management in the event DTC encounters scenarios that could potentially prevent it from being able to provide its critical services as a going concern. The R&W Plan is structured as a roadmap that defines the strategy and identifies the tools available to DTC to either (i) recover, in the event it experiences losses that exceed its prefunded resources (such strategies and tools referred to herein as the “Recovery Plan”) or (ii) wind-down its business in a manner designed to permit the continuation of DTC’s critical services in the event that such recovery efforts are not successful (such strategies and tools referred to herein as the “Wind-down Plan”). The recovery tools

available to DTC are intended to address the risks of (a) uncovered losses or liquidity shortfalls resulting from the default of one or more of its Participants, and (b) losses arising from non-default events, such as damage to DTC’s physical assets, a cyber-attack, or custody and investment losses, and the strategy for implementation of such tools. The R&W Plan also describes the strategy and framework for the orderly wind-down of DTC and the transfer of its business in the event the implementation of the available recovery tools does not successfully return DTC to financial viability.

The R&W Plan is managed and developed by DTC’s parent company, the Depository Trust & Clearing Corporation (“DTCC”),<sup>8</sup> and is managed by the Office of Recovery & Resolution Planning (referred to in the Plan as the “R&R Team”) on behalf of DTC, with review and oversight by the DTCC Management Committee and the Board.

###### Proposed Amendments to the R&W Plan

The Board, or such committees as may be delegated authority by the Board from time to time pursuant to its charter, is required to review and approve the R&W Plan biennially.<sup>9</sup> In connection with the first biennial review of the Plan, DTC is proposing the revisions described in greater detail below. The proposed rule change is designed to update and enhance the clarity of the Plan to ensure it is current in the event it is ever necessary to be implemented. None of the proposed changes modify DTC’s general objectives and approach with respect to its recovery and wind-down strategy as set forth under the current Plan.

##### A. Proposed Changes To Reflect Business or Product Developments

###### 1. Updates to DTCC Business Profile, Intercompany Arrangements, FMI Links and Governance

DTC is proposing the following changes to the DTCC Business Profile, Intercompany Arrangements, FMI Links and Governance sections of the Plan based upon business updates that have occurred since the time the Plan was adopted.

<sup>8</sup> DTCC operates on a shared service model with respect to DTC and its other affiliated clearing agencies, National Securities Clearing Corporation (“NSCC{ XE “NSCC” }”) and Fixed Income Clearing Corporation (“FICC”). Most corporate functions are established and managed on an enterprise-wide basis pursuant to intercompany agreements under which it is generally DTCC that provides relevant services to DTC, NSCC{ XE “NSCC” } and FICC (collectively, the “Clearing Agencies”).

<sup>9</sup> *Supra* note 6.

<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 17 CFR 240.19b–4.

<sup>3</sup> 15 U.S.C. 78s(b)(3)(A).

<sup>4</sup> 17 CFR 240.19b–4(f)(4).

<sup>5</sup> Capitalized terms not defined herein are defined in the Rules, By-Laws and Organization Certificate of DTC (the “Rules”), available at [https://www.dtcc.com/-/media/Files/Downloads/legal/rules/dtc\\_rules.pdf](https://www.dtcc.com/-/media/Files/Downloads/legal/rules/dtc_rules.pdf), or in the Recovery & Wind-down Plan of DTC (the “R&W Plan” or “Plan”).

<sup>6</sup> See Securities Exchange Act Release Nos. 83972 (August 28, 2018), 83 FR 44964 (September 4, 2018) (SR–DTC–2017–021); and 83953 (August 27, 2018), 83 FR 44381 (August 30, 2018) (SR–DTC–2017–803).

<sup>7</sup> 17 CFR 240.17Ad–22(e)(3)(ii). DTC is a “covered clearing agency” as defined in Rule 17Ad–22(a)(5) under the Act and must comply with paragraph (e) of Rule 17Ad–22.