



SECURITIES AND EXCHANGE COMMISSION

[SEC File No. 270-17, OMB Control No. 3235-0018]

Proposed Collection; Comment Request

Upon Written Request, Copies Available From:

Securities and Exchange Commission

Office of FOIA Services

100 F Street. NE

Washington, D.C. 20549-2736

Extension: Rule 15b6-1 and Form BDW

Notice is hereby given that pursuant to the Paperwork Reduction Act of 1995 ("PRA") (44 U.S.C. 3501 et seq.), the Securities and Exchange Commission ("Commission") is soliciting comments on the existing collection of information provided for in Rule 15b6-1 (17 CFR 240.15b6-1), under the Securities Exchange Act of 1934 (15 U.S.C 78a et seq.). The Commission plans to submit this existing collection of information to the Office of Management and Budget ("OMB") for extension and approval.

Registered broker-dealers use Form BDW (17 CFR 249.501a) to withdraw from registration with the Commission, the self-regulatory organizations, and the states. On average, the Commission estimates that it would take a broker-dealer approximately one hour to complete and file a Form BDW to withdraw from Commission registration as required by Rule 15b6-1. The Commission estimates that approximately 317 broker-dealers withdraw from Commission registration annually¹ and, therefore, file a Form BDW via the internet with the Central

¹ This estimate is based on Form BDW data collected over the past three years for fully registered broker-dealers. This estimate is based on the numbers of forms filed; therefore, the number may include multiple forms per broker-dealer if the broker-dealer's initial filing was incomplete. In fiscal year (from 10/1 through 9/30) 2017, 328 broker-dealers withdrew from registration. In fiscal year 2018, 328 broker-dealers

Registration Depository, a computer system operated by the Financial Industry Regulatory Authority, Inc. that maintains information regarding registered broker-dealers and their registered personnel. The 317 broker-dealers that withdraw from registration by filing Form BDW would incur an aggregate annual reporting burden of approximately 317 hours.²

Written comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the Commission, including whether the information shall have practical utility; (b) the accuracy of the Commission's estimates of the burden of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology. Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information under the PRA unless it displays a currently valid OMB control number.

Please direct your written comments to: David Bottom, Director/Chief Information Officer, Securities and Exchange Commission, c/o Cynthia Roscoe, 100 F Street, NE Washington DC 20549, or send an e-mail to: PRA_Mailbox@sec.gov.

Dated: May 8, 2020.

J. Matthew DeLesDernier,

Assistant Secretary.

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withdrew from registration. In fiscal year 2019, 296 broker-dealers withdrew from registration. $(328 + 328 + 296) / 3 = 317$ (rounded down from 317.33).

² $(317 \times 1 \text{ hour}) = 317 \text{ hours.}$

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