

DETERMINED TO BE AN
ADMINISTRATIVE MARKING
E.O. 12065, Section 6-102
By *JMV* NARS, Date *5/2/2012*



OFFICE OF
THE SECRETARY

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

Open Meeting Agenda

Tuesday, August 27, 2002

- Item 1: Delegation of Authority to the General Counsel
- Office: Office of the General Counsel
- Staff: Anne E. Chafer, Joan Loizeaux
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- Item 2: Ownership Reports and Trading by Officers, Directors and Principal Security Holders
- Office: Division of Corporation Finance
- Staff: Mauri L. Osheroff, Anne M. Krauskopf
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- Item 3: Acceleration of Periodic Report Filing Dates and Disclosure Concerning Website Access to Reports
- Office: Division of Corporation Finance
- Staff: Elizabeth M. Murphy, Jeffrey Minton
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- Item 4: Certification of Disclosure in Companies' Quarterly and Annual Reports
- Office: Division of Corporation Finance
- Staff: Elizabeth M. Murphy, Mark A. Borges

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Item 5: Certification of Management Investment Company Shareholder Reports and Designation of Certified Shareholder Reports as Exchange Act Periodic Reporting Forms

Office: Division of Investment Management

Staff: Susan Nash, Paul G. Cellupica, Tara L. Royal, John M. Faust

Item 6: De Minimis Exemption from Trade-Through Restrictions of the Intermarket Trading System Plan

Office: Division of Market Regulation

Staff: Robert L.D. Colby, Alden Adkins, John Polise, Lisa Jones

Item 7: Confirmation Requirements for Transactions in Security Futures Products Effected in Futures Accounts

Office: Division of Market Regulation

Staff: Robert L.D. Colby, Catherine McGuire, Norman N. Reed

Item 8: Rule 15c3-3 Reserve Requirements for Margin Related to Security Futures Products

Office: Division of Market Regulation

Staff: Robert L.D. Colby, Michael A. Macchiaroli, Thomas K. McGowan, Bonnie L. Gauch, Matthew B. Comstock

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Item 1: The Commission will consider approving a delegation to the General Counsel to issue certain orders in Commission administrative proceedings. The proposed delegation would authorize the General Counsel to issue orders, pursuant to Rule of Practice 411(b), under which the Commission would take up on its own motion the issue of what sanctions are appropriate in the public interest.

For further information, please contact Joan Loizeaux at (202) 942-0950.

Item 2: The Commission will consider adopting rules and form amendments to implement the accelerated filing deadline applicable to change of beneficial ownership reports required to be filed by officers, directors and principal security holders under Section 16(a) of the Securities Exchange Act of 1934, as amended by Section 403 of the Sarbanes-Oxley Act of 2002. The Commission announced in Exchange Act Release No. 46313 (Aug. 6, 2002) that it would consider adopting such amendments.

For further information, please contact Anne Krauskopf at (202) 942-2900.

Item 3: The Commission will consider whether to adopt amendments to accelerate the filing of quarterly and annual reports under the Securities Exchange Act of 1934. The amendments also would require companies to disclose in their annual reports whether they provide access to their reports on their websites. The amendments were proposed by the Commission in April, 2002.

For further information, please contact Jeff Minton at (202) 942-2910.

Item 4: The Commission will consider whether to adopt new rules that would require an issuer's principal executive and financial officers to certify the issuer's quarterly and annual reports filed under the Securities Exchange Act of 1934. In addition, the new rules would require issuers to maintain internal controls to provide reasonable assurance that they are able to collect, process and disclose the information required in their Exchange Act reports, and to periodically review and evaluate these controls. The Commission announced in Exchange Act Release No. 46300 (Aug. 2, 2002) that it would consider rules to implement Section 302 of the Sarbanes-Oxley Act of 2002.

For further information, please contact Mark A. Borges at (202) 942-2910.

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Item 5: The Commission will consider whether to adopt rules that would require a registered investment company's principal executive and financial officers to certify Form N-SAR, implementing Section 302 of the Sarbanes-Oxley Act of 2002. In addition, the Commission will consider whether to propose amendments to its rules and forms that would (1) designate the shareholder reports of management investment companies as reports filed under the Securities Exchange Act of 1934, and (2) require each registered management investment company's principal executive officer and principal financial officer to certify the information contained in its shareholder reports in the manner required by Section 302 of the Sarbanes-Oxley Act of 2002.

For further information, please contact John Faust at (202) 942-7974.

Item 6: The Commission will consider whether to grant a temporary de minimis exemption from the trade-through restrictions of the Intermarket Trading System Plan for transactions in exchange-traded funds tracking the Nasdaq-100 Index, the Dow Jones Industrial Average, and the Standard and Poors 500 Index. The exemption would cover transactions that are executed at no more than three cents away from the national best bid and offer displayed in the Consolidated Quote.

For further information, please contact John Polise at (202) 942-0068.

Item 7: The Commission will consider whether to adopt rule amendments and a new rule under the Securities Exchange Act of 1934 to clarify the disclosures broker-dealers effecting transactions in security futures products in futures accounts must make in the confirmations sent to customers regarding those transactions.

For further information, please contact Norman Reed at (202) 942-7901.

Item 8: The Commission is proposing for comment amendments to the formula for determination of customer reserve requirements of broker-dealers under Rule 15c3-3 to the Securities Exchange Act of 1934. The proposed amendments relate to treatment under the reserve formula of customer security futures product margin required and on deposit with a registered clearing agency or a derivatives clearing organization.

For further information, please contact Michael Macchiaroli at (202) 942-0132, Thomas McGowan at (202) 942-4886, or Matthew Comstock at (202) 942-0156.