

INDIVIDUALS RECEIVING ADVANCE NOTIFICATION OF NUCLEAR WASTE SHIPMENTS—Continued

State	Part 71	Part 73
Guam	Jesus T. Salas, Administrator, Guam Environmental Protection Agency, PO Box 22439 GMF, Barrigada, Guam 96921, (671) 457-1658.	Same.
Virgin Islands	Dean C. Plaskett, Esq., Commissioner, Department of Planning and Natural Resources, Cyril E. King Airport, Terminal Building—Second Floor, St. Thomas, Virgin Islands 00802, (340) 774-3320.	Same.
American Samoa	Pati Faiai, Government Ecologist, Environmental Protection Agency, Office of the Governor, Pago Pago, American Samoa 96799, (684) 633-2304.	Same.
Commonwealth of the Northern Mariana Islands.	Thomas B. Pangelinan, Secretary, Department of Lands and Natural Resources, Commonwealth of Northern Mariana Islands Government, Caller Box 10007, Saipan, MP 96950, (670) 322-9830 or (670) 322-9834..	Same.

[FR Doc. 03-16176 Filed 6-27-03; 8:45 am]

BILLING CODE 7590-01-P

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-48068]

Self-Regulatory Organizations; Declaration of Effectiveness of American Stock Exchange LLC Fingerprinting Plan

June 19, 2003.

On June 5, 2003, the American Stock Exchange LLC (“Amex” or “Exchange”) submitted to the Securities and Exchange Commission (“Commission” or “SEC”) an amended fingerprinting plan (“Amended Plan”) pursuant to Rule 17f-2(c)¹ under the Securities Exchange Act of 1934 (“Act”).² The Amended Plan³ supersedes and replaces the Exchange’s current fingerprinting plan.⁴ The Exchange believes that the Amended Plan will be a significant improvement over the current Amex fingerprinting plan.

The Amended Plan establishes fingerprinting procedures in connection with the proposed amendment to Exchange Rules 340, Disapproval of Employees, and 341, Approval of Registered Employees and Officers, and adoption of new Exchange Rule 359, Application and Termination Forms (Forms U-4 and U-5). The proposed amendments to Exchange Rules 340 and 341 and the proposed adoption of Exchange Rule 359 provide for the electronic processing of the Uniform Application for Securities Industry Registration or Transfer (“Form U-4”)

and the Uniform Termination Notice for Securities Industry Registration (“Form U-5”) by the National Association of Securities Dealers, Inc.’s (“NASD’s”) Web Central Registration Depository (“Web CRD”) system⁵ for all individuals required to be registered with or approved by the Exchange.⁶ The Exchange believes that automating the review of registration applications and termination notices by transitioning all Forms U-4 and U-5 filings to Web CRD will enable the Exchange to perform more efficiently its regulatory responsibilities with respect to members and member organizations and, thereby, will ultimately enhance investor protection.

In connection with this electronic registration process, and pursuant to the Amended Plan, persons seeking registration with the Exchange will submit their fingerprints to NASD. NASD will process these fingerprints and submit them to the Attorney General. The Attorney General will, in turn, provide NASD with fingerprint processing results for the persons seeking registration, and the results will be provided to the members via Web CRD.

The Commission has reviewed the procedures detailed in the Amended Plan and believes that the Amended

Plan is in the public interest and consistent with the protection of investors. The Amended Plan should significantly improve upon the efficiency of the Amex registration system by consolidating with the NASD the role of collecting and electronically displaying fingerprint information and the role of electronically collecting Form U-4 through the NASD’s Web CRD system. Thus, the Commission declares the Amended Plan to be effective.

The Commission notes that securities industry fingerprinting procedures are in a state of flux due to rapidly advancing technology. In the event that an industry-wide technology standard is adopted or becomes prevalent and in the event that this Amended Plan substantially differs therefrom, the Commission may declare this Amended Plan ineffective. The Commission imposes these terms and conditions on the Amended Plan and deems that they are necessary and appropriate in the public interest, for the protection of investors, and otherwise in furtherance of the purposes of the Act pursuant to Rule 17f-2(c).⁷

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.⁸

Margaret H. McFarland,
Deputy Secretary.

Exhibit A⁹—American Stock Exchange Fingerprint Plan

The American Stock Exchange LLC (“Exchange”) submits this Fingerprint Plan (“Plan”) pursuant to Rule 17f-2(c) under the

¹ 17 CFR 240.17f-2(c).² 17 CFR 200.30-3(a)(17)(iii).

³ The Exchange requested that the Commission make a technical, non-substantive change to the Amended Plan language concerning the attachment of copies of certain Commission releases to the Amended Plan. Teleconference between William Floyd-Jones, Associate General Counsel, Exchange, and Christopher B. Stone, Special Counsel, Division of Market Regulation, Commission (June 18, 2003).

⁵ The Web CRD is a Web-based system that provides broker-dealers and their associated persons with “one-stop filing” with the Commission, NASD and other self-regulatory organizations and regulators. The Web CRD is operated by NASD and is used by participating regulators in connection with registering and licensing broker-dealers and their associated persons.

⁶ See Securities Exchange Act Release No. 48067 (File No. SR-Amex-2003-48) (effective on filing proposal related to amendments to Exchange Rules 340 and 341, and the adoption of Exchange Rule 359, filed May 22, 2003), and Securities Exchange Act Release No. 48066 (File No. SR-Amex-2003-49) (effective on filing proposal related to fee schedule changes for Form U-4 and Form U-5 processing, filed May 27, 2003).

¹ 17 CFR 240.17f-2(c).² 15 U.S.C. 78a *et seq.*³ Attached hereto as Exhibit A.

⁴ The Exchange’s current fingerprinting plan was approved by the Commission on December 23, 1976. See Securities Exchange Act Release No. 13105, 42 FR 753 (January 4, 1977).