

# NYSE American Options ATP Clearing Member Firm Restriction Form

## OCC Clearing Member Firm Information

ATP Clearing Member

Firm Name: \_\_\_\_\_

CRD#: \_\_\_\_\_

OCC Number: \_\_\_\_\_

In accordance with NYSE American rules, the ATP Clearing Member Firm listed above authorizes NYSE American to restrict The Options Clearing Corporation ("OCC") number listed above requiring prior authorization for use as a Give-Up on NYSE American.

NOTE: Once an OCC number is marked as restricted, no ATP Member Firm will be able to use that restricted OCC number unless they are authorized by the ATP Clearing Member Firm pursuant to the applicable NYSE American rule.

Instructions: To authorize or revoke an ATP Member Firm's use of a restricted OCC number, please submit the Restricted Clearing Number Authorization and Revocation form to [crs@nyse.com](mailto:crs@nyse.com).

[https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE\\_American\\_Options\\_Authorization\\_of\\_Restricted\\_Clearing\\_Number.pdf](https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Authorization_of_Restricted_Clearing_Number.pdf)

By executing this ATP Clearing Member Restriction Form, the ATP Clearing Member Firm grants NYSE American permission to publish the ATP Clearing Member Firm's restricted OCC number on NYSE's website for purposes of providing notice to other exchange member firms that the ATP Clearing Member Firm's OCC number will not be available for Give Up without Clearing Authorization.

A separate NYSE American Clearing Member Firm Restriction Form is required for each OCC number being restricted.

Authorized Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

ATP Clearing Member Firm Contact Team for Authorization (to be provided to market participants):

Email Address: \_\_\_\_\_

Phone: \_\_\_\_\_

**Please return to Client Relationship Services via email [CRS@nyse.com](mailto:CRS@nyse.com).**