

NYSE Arca Options Clearing Firm Restriction Form

OCC Clearing Firm Information

OTP Clearing Firm Name: _____ CRD#: _____
OCC Number: _____

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

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

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

https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Authorization_of_Restricted_Clearing_Number.pdf

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

A separate NYSE Arca OTP Clearing Firm Restriction form is required for each OCC number being restricted.

Authorized Signature: _____ Date: _____

Print Name: _____ Title: _____

OTP Clearing 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.