

NYSE Arca Options

TERMINATION OF FLOOR BROKER

To: NYSE Client Relationship Services Department ("CRS")

From: _____
Options Trading Permit ("OTP") Firm

Re: _____
Floor Broker Name Acronym(s)

Date of termination: _____ (Close of Business)

Temporary Termination
– Date of Return: _____

Permanent Termination

Authorized Signature of OTP Firm Date

Checklist for terminating an OTP Floor Broker

1. OTP holders must notify the Exchange in advance of the proposed termination date.
2. Temporary terminations cannot exceed 180 days.
3. OTP holders must return floor badges and handhelds to floor staff.
4. In conjunction with a permanent termination, a Form U-5 for the "FB" registration category should be submitted on WebCRD® promptly but no later than 30 calendar days after the date of termination.
5. Individuals who wish to remain registered in the Interim Member Floor Broker Program should not submit this form or the Form U-5. **For more information about the Interim Member Floor Broker Program, please contact CRS via email at crs@nyse.com.*