

# NYSE Arca Options

## TERMINATION OF MARKET MAKER

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

From: \_\_\_\_\_  
Options Trading Permit ("OTP") Clearing Firm

Date of termination: \_\_\_\_\_ (Close of Business)

Temporary Termination  
– Date of Return: \_\_\_\_\_

Permanent Termination

Market Maker: \_\_\_\_\_ Acronym(s): \_\_\_\_\_

OTP Firm: \_\_\_\_\_

The OTP Clearing Firm will continue to accept full financial responsibility for all Exchange options transactions (as defined by Exchange rules) made in the account of the above-specified Market Maker, until such time as all positions in the account have been liquidated and a Letter of Guarantee Revocation has been issued and accepted by the Exchange.

\_\_\_\_\_  
Authorized Signature  
OTP Clearing Firm

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Title

*OTP Firm must notify the Exchange no later than one (1) business day in advance of the proposed temporary termination date. A temporary termination cannot exceed 180 days.*

*Trade activity in a market maker account that is subject to a Temporary Termination must be limited to "closing only" transactions. Closing only shall generally mean submission of orders for the purpose of closing positions or reducing risk. Trade activity in terminated accounts may be subject to regulatory review.*

*A Letter of Guarantee Revocation is required to be filed with CRS after all accounts have cleared.*