

**NYSE Texas, Inc.**  
**Clearing Give-up Authorization Form**

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**1. Institutional Broker ("IB") Participant Firm Information**

IB Participant Firm Name		CRD #	
Business Contact Name			
Phone and E-mail Address			

**2. Give-up Information**

Clearing Participant Firm Name		NSSC/DTCC #	
The above referenced IB Participant Firm requests NYSE Texas, Inc. (NYSE Texas) to enable give-ups for the following NYSE Texas Clearing Participant Firm trading accounts.			
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
Firm Name		Account (MPID)	
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IB Participant Firm represents that it has a valid Clearing Letter of Guarantee on file with NYSE Texas.

The parties hereby agree to and authorize the use of the Clearing Participant Firm account as set forth in Section 2 of this Clearing Give Up Authorization Form (the "Give Ups"). Clearing Participant Firm acknowledges and agrees that the Give Ups constitute valid Clearing Participant Firm trading account symbols, to be used on the NYSE Texas trading facilities or on the facilities of another trading center (including the over-the-counter market) and in NYSE Texas's systems and records for the purpose of tracking IB Participant Firm Trades and submitting those trades to NSCC for clearance and settlement. Clearing Participant Firm is responsible for the settlement of all IB Participant Firm trades in the Give Ups.

Clearing Participant Firm shall be permitted to add, delete, deactivate and activate Give Ups on an intra-day basis. Prior to formally requesting NYSE Texas to make such changes to Give Ups, Clearing Participant Firm shall notify its Customer of the impending change. Clearing Participant Firm shall then formally request changes including additions, deletions, deactivations and activations by contacting the NYSE Texas Client Relationship Services (CRS) team by email at [crs@nyse.com](mailto:crs@nyse.com). The CRS team shall send a confirmation email within a reasonable time to the Clearing Participant Firm at the email address given below:

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

with the terms of the requested changes including, but not limited to, identifying IB Participant Firm, Trading Account Symbol and DTCC Number. The Clearing Participant Firm must confirm the terms of the changes by responding to the email. The CRS team shall only take action to implement changes once Clearing Participant Firm's confirmation is received by CRS team from the Clearing Participant Firm email address listed herein. Once the CRS team receives confirmation of the action to be taken, CRS team will act within a reasonable time to make the confirmed changes. The CRS team will then notify Clearing Participant Firm by email at the above-listed address confirming that the requested changes have been made. In the instance of a deactivation request, the parties agree that all trades properly reported to the consolidated tape prior to the effective time of the deactivation shall remain binding obligations of both the Clearing Participant Firm and the IB Participant Firm.

The parties hereby agree that CRS team is authorized and empowered by Clearing Participant Firm and IB Participant Firm to make changes, cancellations, deletions and corrections to the submissions noted in this Clearing Give Up Authorization Form, to correct errors and omissions in those submissions when reasonably necessary to facilitate the proper clearance and settlement of transactions submitted to NSCC.

The parties agree that this Clearing Give Up Authorization Form is subject to the terms of the NYSE Master User Agreement, located at [www.nyse.com](http://www.nyse.com), as amended from time to time in accordance with its terms.

\_\_\_\_\_  
Clearing Participant Firm Name

\_\_\_\_\_  
Institutional Broker Participant Firm Name

\_\_\_\_\_  
Clearing Participant Representative Name  
(Please Print)

\_\_\_\_\_  
Institutional Broker Representative Name  
(Please Print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Authorized Signature of Clearing Participant

\_\_\_\_\_  
Authorized Signature of Institutional Broker

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