

Partial Amendment No. 2 to SR-OCC-2021-802

The Options Clearing Corporation (“OCC”) has filed a partial amendment (“Partial Amendment No. 2”) to advance notice File No. SR-OCC-2021-802 pursuant to General Instructions for Form 19b-4 Item 11, Exhibit 3f, Exhibit 3g, and Exhibit 3gg. The General Instructions provide, in part, that if information on Form 19b-4 becomes inaccurate prior to the expiration of the statutory review period with respect to advance notices, the self-regulatory organization shall correct any such inaccuracy. Partial Amendment No. 2 replaced Exhibits 3f and 3g filed as part of File No. SR-OCC-2021-802 on October 8, 2021 with revised Exhibits 3f and 3g and added Exhibit 3gg to File No. SR-OCC-2021-802. Exhibit 3f is one of the documents that collectively comprise the agreement with the Cloud Service Provider, Exhibit 3g provides a summary of the terms and conditions of OCC’s agreement with the Cloud Service Provider that enable OCC to comply with Regulation SCI, and Exhibit 3gg is a new document that, along with Exhibit 3f and other documents provided in conjunction with File No. SR-OCC-2021-802, comprise the agreement with the Cloud Service Provider. Exhibits 3f and 3gg have been agreed to in principle with the Cloud Service Provider but have not yet been executed. This amendment does not change the purpose of or basis for the advance notice.