

NYSE Amex Options - Designated Give-up Notification Form

1. ATP Firm Information

| | | | |
|---|--|-------|--|
| ATP Firm Name | | CRD # | |
| Business Contact Name | | | |
| Business Contact Phone and E-mail Address | | | |

2. Give-up Information

| The above referenced ATP Firm requests NYSE Amex Options to enable (or disable) give-ups for the following Clearing Members: <i>(NOTE: Please place an "X" in the appropriate column to indicate whether the give up is to be enabled or disabled).</i> | | | | Enable Give Up | Disable Give Up |
|--|--|--------|--|--------------------------|--------------------------|
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Clearing Member Name: | | OCC #: | | <input type="checkbox"/> | <input type="checkbox"/> |

Multiple copies of this page may be attached if additional lines are required.

ATP Holder represents that it has appropriate policies and procedures applicable to the clearing and settlement of transactions executed pursuant to this agreement and NYSE MKT Rule 961.

ATP Holder represents that it has a valid Clearing Letter of Consent or Letter of Authorization on file with NYSE Amex Options.

| | | |
|--|--|------|
| Print Name and Title of Authorized Signatory | | |
| Signature | | Date |

Please return to Client Relationship Services via email CRS@nyse.com.

NYSE AMEX OPTIONS GIVE-UP CHANGE FORM

Clearing Member Rejecting the Trade (Name/OCC#):

By signing this form, the signatory represents that he/she is authorized by the Clearing Member to act on its behalf to reject the trade.

| | |
|--------------|-------|
| _____ | _____ |
| Name (print) | Title |
| _____ | _____ |
| Signature | Date |
| _____ | _____ |
| Phone | Email |

TRADE INFORMATION

| | |
|---|----------------------|
| Executing (“give-up”) OCC Clearing Number: _____ | |
| CMTA (if applicable): _____ | Option Symbol: _____ |
| Expiration Date (mm/dd/yy): _____ | Buy/Sell: _____ |
| Strike Price: _____ | Call/Put _____ |
| Volume: _____ | Premium: _____ |
| Trade Date: _____ | Trade Time: _____ |
| Executing Firm Info (Name and ATP Firm Acronym If Known): _____ | |
| Reason for rejecting the trade: _____ | |

The new Clearing Member for the above trade will be (please check one):

- The executing ATP Holder’s Guarantor

Guarantor's Name and OCC#: _____

- Another Clearing Member
("Accepting Clearing
Member")*

Accepting Clearing Member's Name
and OCC#: _____

* The Accepting Clearing Member must complete and submit to NYSE Amex Options Trade Processing the "NYSE Amex Options Give-up Change Form for Accepting Clearing Member."

NYSE Amex Options Trade Processing (ONLY):

Name: _____ Time: _____ Give-up and trade
checked:

**NYSE AMEX OPTIONS GIVE-UP CHANGE FORM
FOR ACCEPTING CLEARING MEMBER**

Clearing Member Accepting the Trade (Name/OCC#):

Please check the box if you agree to be the Give-up on the trade below.

By signing this form, the signatory represents that he/she is authorized by the Clearing Member to act on its behalf to accept the trade.

Name (print)

Title

Signature

Date

Phone

Email

TRADE INFORMATION

Executing ("give-up") OCC Clearing Number: _____

CMTA (if applicable): _____

Expiration Date
(mm/dd/yy): _____

Strike Price: _____

Volume: _____

Trade Date: _____

Option
Symbol: _____

Buy/Sell: _____

Call/Put
Premium: _____

Trade Time: _____

Executing Firm Info (Name and Floor Broker
Acronym If Known): _____