

NYSE Arca Clearing Firm Restriction Form

OCC Clearing Firm Information		
OTP Clearing Firm:	CRD Number:	OCC Number:
<p>In accordance with NYSE Arca rules, the OTP Clearing Firm listed above authorizes NYSE Arca to restrict The Options Clearing Corporation (“OCC”) number listed above requiring prior authorization for use as a Give-Up on NYSE Arca, LLC.</p> <p>NOTE: Once an OCC number is marked as restricted, no OTP Firm will be able to use that restricted OCC number unless they are authorized by the OTP Clearing Firm pursuant to the applicable NYSE Arca rule.</p> <p>Instructions: To authorize or revoke an OTP Firm’s use of a restricted OCC number, please submit the Restricted Clearing Number Authorization and Revocation form to crs@nyse.com.</p> <p><i>Link to Restricted Clearing Number Authorization and Revocation form</i></p> <p>By executing this OTP Clearing Firm Restriction Form, the OTP Clearing Firm grants NYSE Arca permission to publish the Clearing Firm’s restricted OCC number on NYSE’s website for purposes of providing notice to other exchange members that the OTP Clearing Firm’s OCC number will not be available for Give Up without Clearing Authorization.</p> <p>A separate NYSE Arca OTP Clearing Firm Restriction form is required for each OCC number being restricted.</p>		
Authorized Applicant Signature:	Date:	
Print Name:	Title:	
OTP Clearing Firm Contact Team for Authorization (to be provided to market participants):		
Email Address:	Phone:	

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