(a) Each Participant who conducts a business as a Floor Broker on the Exchange and who is not self-clearing must establish and maintain an account with a Clearing Participant of the Exchange, for the sole purpose of carrying positions resulting from bona fide errors made in the course of its floor brokerage business. With respect to Floor Brokers only, such an account for option transactions must be maintained with an entity that is also a member of the Options Clearing Corporation.

(b) Each Participant which conducts business as a Floor Broker must make available to the Exchange, upon request, accurate and complete records of all trades cleared in such Participant’s error account. These records must include the audit trail data elements prescribed below:

1) name or identifying symbol of the security;

2) number of shares or quantity of security;

3) transaction price;

4) time of trade execution;

5) executing Floor Broker badge number, or alpha symbol as may be used from time to time, in regard to its side of the contract;

6) executing Floor Broker badge number, or alpha symbol as may be used from time to time, of the contra side to the contract;

7) clearing firm number, or alpha symbol as may be used from time to time, in regard to its side of the contract;

8) clearing firm number, or alpha symbol as may be used from time to time, in regard to the contra side of the contract;

9) designation of whether the account for which the order was executed was that of a Participant;
10) the nature and amount of the error;

11) the Participant that cleared the error trade on the Participant’s behalf;

12) an explanation of the means by which the Participant resolved the error;

13) the aggregate amount of liability that the Participant incurred and: (i) had outstanding as of the time each such error trade entry was recorded or (ii) had cleared by other Participant.

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