

# Options Clearing Member Firm Restriction Form

NYSE American LLC and NYSE Arca, Inc.  
(each an "Exchange")

To be completed by an Exchange Clearing Member Firm to restrict an Options Clearing Corporation ("OCC") registered clearing number for give up business on the Exchange(s).

## Indicate Exchange that Clearing Member Firm is requesting to restrict OCC number (*Check all that apply*)

NYSE American Options

NYSE Arca Options

## Exchange Clearing Member Firm Information

Clearing Member Firm

Name: \_\_\_\_\_

CRD#: \_\_\_\_\_

OCC Number: \_\_\_\_\_

In accordance with Exchange rules, the Clearing Member Firm listed above authorizes the Exchange(s) to restrict the OCC number listed above and require prior authorization for its use as a give up on the Exchange(s) specified above.

By executing this Options Clearing Member Restriction Form, the Clearing Member Firm grants the Exchange(s) permission to publish the Clearing Member Firm's restricted OCC number on NYSE's website for purposes of providing notice to other Exchange Member Firms that the Clearing Member Firm's OCC number will not be available for give up without clearing authorization.

A separate Options Clearing Member Firm Restriction Form is required for each restricted OCC number.

NOTE: Once an OCC number is marked as restricted, no Exchange Member Firm will be able to use that restricted OCC number unless they are authorized by the Clearing Member Firm pursuant to the applicable Exchange rules. To authorize or revoke an Exchange Member Firm's use of a restricted OCC number, please submit the [Authorization or Revocation of Restricted Clearing Number Form](#) to [crs@nyse.com](mailto:crs@nyse.com).

Authorized Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Clearing Member Firm Contact Team for Authorization (to be provided to market participants):

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

Phone: \_\_\_\_\_

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