

CLEARING MEMBER RESTRICTION FORM

CLEARING WEWBER RESTRICTION FORW										
OCC Clearing	Member Information									
Clearing Member:						Dat	Date:			
Corporation ("must indicate NOTE: Once that restricted that Clearing I pursuant to ap	with Nasdaq rules, the Clearing Member listed about OCC") number(s) listed below requiring prior author below the OCC number(s) to be restricted. an OCC number is marked as restricted, no Membous OCC number unless they have either: (1) an executember; or (2) the Member/Participant/member organicable rules.	rizat er/Pa ited ianiz	ion f artic clea atio	for use a lipant/me liring gua n is auth	is a Giv ember d rantee norized	e-Up. The organization file wi by the Cl	ne Clea on will th Mem earing l	ring Mem be able to bership v Member	o use	
<u>Instructions:</u> To authorize or revoke a Member's/Participant's/member organization's use of a restricted OCC number, please enter the applicable information below and submit to membership@nasdaq.com . List the restricted OCC number in column 1, provide, if applicable, each Member/Participant/member organization that is authorized or restricted on each OCC number in column 2, indicate authorized/revoked in columns 3 or 4, and identify relevant markets using 5 through 10. If necessary, please attach additional sheets.										
1	2	3	4	5	6	7	8	9	10	
Restricted OCC Number	Member / Participant / Member Organization	A u t h o r l z e d	R e v o k e d	PHLX	ISE	GEMX	MRX	NOM	вхо	
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By executing this Clearing Member Restriction Form, the Clearing Member grants Nasdaq permission to publish the Clearing Member's restricted OCC number(s) on its website for purposes of providing notice to other exchange members that the Clearing Member's OCC number(s) will not be available for Give Up.										
Authorized Applicant Signature:			Date:							
Print Name:			Title:							
Clearing Member Contact Person (to be provided to market participants seeking authorization)										
Email Address:				Phone:						